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ABSTRACT

Among the many truisms in the management of higher education is that success in a college or university development program depends heavily upon the knowledge, skills and attitude of the president. Yet most presidents come to the job whith minimal experience in fund raising. The presidential selection process itself tends to underemphasize this particular aptitutde. Many if not most of the other activities over which the president must preside can be delegated to experts but the function of development (including alumni and public relations), more than any other area of concern, seems to fall to the responsibility of the president. Some issues in the field of college and university development are: (1) the president's management role; (2) elements of a development program; (3) developing a long-range master plan; (4) the president's leadership role in motivating trustees; (5) the trustee's view of the president in his/her development role; (6) organizing and evaluating a development program; and (7) developing private support. (Author/KE)

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The President's Role in Development

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ASSOCIATION OF AMERICAN COLLEGES
WASHINGTON, D. C.
1975

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God bless you, Gentlemen! Learn to give
Money to colleges while you live.
Don't be silly and think you'll try
To bother the colleges, when you die,
With codicil this, and codicil that,
That Knowledge may starve while Law grows fat;
For there never was a pitcher that wouldn't spill,
And there's always a flaw in a donkey's will!

Parson Turell's Legacy

Oliver Wendell Holmes

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Preface

Among the many truisms in the management of higher education is that success in a college or university development program depends heavily upon the knowledge, skills and attitude of the president. Yet most presidents come to the job with minimal experience in fund raising and more importantly with little or no stomach for it. The presidential selection process itself, which today requires substantial faculty involvement, tends to underemphasize this particular aptitude.

Further, to the extent that individuals deliberately prepare themselves for the demands of the college presidency, they are not likely to develop an inclination toward what many view as a form of medicancy. Skill in fund raising, when and if it is required, is usually *ex post facto*, often born of desperation.

Many if not most of the other activities over which the president must preside can be delegated to experts, even though he or she bears ultimate responsibility. The president must understand the budget, of course, but will never be criticized for relying heavily on the chief financial officer – a specialist. The same can be said for student affairs where, unless the dean of students is the leader of a protest march, the president can generally count on solid support from the specialist staff. In academic affairs, of course, the quickest way for the chief executive to get into trouble is to pretend to personal expertise or to exert too much visible leadership. Even the dean or academic vice president must walk warily in this faculty domain.

It is the function of development (including alumni and public relations), more than any of these other areas of concern, which seems most inescapably to fall to the responsibility of the president. He or she can – and usually does – engage a chief development officer who, with any luck, is experienced, compatible and possessed of a Midas touch. Yet in no sense does this acquisition relieve the president of primary and comprehensive responsibility for the development needs of the institution. Presidential leadership is the *sine qua non*.

In this field of development in higher education, as can be seen in the bibliography on page 52, some useful vade mecums are available. Some of these have reached the status of classics, and even those have lost their contemporaneity. Usually they have been written for the professional development officer, not the college president. Similarly, workshops and seminars, many of them highly professional, provide training opportunities available to the president. For the most part, however, whether by choice or by design, it is the development officer, not the president, who is to be found at such gatherings.

At least twice in recent decades the Association of American Colleges has evinced concern for this important phase of the academic enterprise. In 1958, it took an initiative which led to the formation of Independent College Funds of America, Incorporated, an offspring whose accomplishments still inspire a warm parental glow. In 1963, it sponsored publication of *The Good Way of Life for Fund Raising in Colleges and Universities*, by that pioneer in the field, Paul H. Davis.

In early 1974, thanks to a grant from the Arthur Vining Davis Foundations, AAC sponsored an independent survey of areas of primary concern to college presidents which might be served through seminars exclusively designed for the chief executive. Leading the list was development. Quite independently, but coincident with this survey, John E. Sawyer, who had just joined The Andrew W. Mellon Foundation after some years as president of Williams College, wrote asking "whether the AAC. . .might see ways of providing practical counsel to large numbers of smaller private colleges who may be quite inexperienced in how to organize regular fund raising among their own natural constituencies, alumni, parents, community and friends, both on annual giving and capital support, current or deferred." The message became a virtual mandate.

With underwriting from the Mellon Foundation, and calling upon the expertise of the consulting firm of Frantzreb, Pray, Ferner, and Thompson, Incorporated, AAC sponsored a series of three seminars on The President's Role in the Development of Private Support. Participation was deliberately limited in numbers so as to provide for maximum exchange of experience among the participants. By and large the program was designed to attract presidents of the smaller, independent colleges. At the same time those in attendance represented a wide range of interests and expertise. And as the evaluation (conducted by John Anthony Brown, now president of Muskingum College) revealed, the formal presentations as well as the opportunity to explore philosophies and techniques for more successful development programs were enthusiastically received.

No effort was made to record the question-and-answer periods nor the discussion sessions. In the strong conviction, however, that the formal presentations deserve far broader dissemination, they are gathered together in this small volume for the benefit of college presidents who wish to rethink their responsibilities in the development area.

Our special thanks go to the "faculty" who gave so much in sharing their knowledge and experience with the presidential participants: Kenneth G. Beyer, J. Garber Drushal, Norman C. Francis, Arthur C. Frantzreb, Sister Jeanne Knoerle, G. T. Smith, and Alfred C. Viebranz. Appreciation is due also to David M. Thompson and Mary Helene Pendel of Frantzreb, Pray, Ferner, and Thompson, Incorporated, and Elden T. Smith of the AAC staff for their managerial assistance. And finally, of course, we would express our gratitude to The Andrew W. Mellon Foundation for its tangible recognition of this important need.

Frederic W. Ness
President
Association of American Colleges

The President's Management Role in Development

NORMAN C. FRANCIS

"Successful philanthropy is a by-product of good management." It is literally the result of an effective and well-coordinated team approach. For those colleges and universities that have been successful in fund raising, this is certainly a valid principle. In the case of my own institution, Xavier University of Louisiana, it is perhaps the most important comment I can make about whatever success we have had thus far in building our development program. By the same token, I can tell you that whatever lack of success we are experiencing in fund raising is a reflection of certain management shortcomings we have not yet eliminated.

Because of the nature of his job, a college president can easily be influenced to move towards one of two extremes when it comes to fund raising: either he can do very little, avoiding fund raising at all costs (and this cost is so high that few institutions can get away with it); or he can try to do everything himself and not delegate responsibility to his staff. Those presidents who choose the latter route tend to preclude the possibility of team effort, strong staff, active trustees and volunteers who give and get money for the institution.

What we need to do is find a happy medium -- where a timid president can be comfortable and effective and where all responsible parties are involved in maximizing gift income to the college. This requires creative leadership (beginning with some objective self-assessment) on the part of the president. After all, the president is not the institution or bigger than the institution. Although many of us sometimes allow our egos to delude us, we should recognize that we are not bigger than the composite total of those we serve. Events of the past few years have had a sobering effect on college presidents. Less of us look upon ourselves as supermen or superwomen. To get our job done, to reach our goals, to achieve our objectives, we must depend upon two critically important management factors: systems and people.

Who are these people; how do they behave within and outside of what kinds of systems; and what is the impact of the systems and the people when they come up against the issues and forces around us, behind us and even ahead of us? Let us view these various elements in the context of *selected management tasks.*

First: The president himself must develop a broad concept of development for his or her institution. For me, development *is* an integral part of the total educational enterprise. It is neither a dictating mechanism finding money for programs in which we should not be involved; nor is it an appendage tucked off in some corner to which we send messages like "we need money, please find it." It makes no sense to think of fund raising as an isolated entity without relating it to the whole notion of the financing of your particular institution; or for that matter, to the financing of higher education itself. And it makes no sense to think of the financing of an individual institution

without at the same time thinking of that institution's total management picture. Having arrived at a broad concept of development, the president must make sure that the concept is appropriate; in fact, is tailor-made for his institution. He must interpret it and he must *sell* it to his governing board, his top volunteers, faculty and staff leadership.

You may have guessed from my remarks what the Xavier University development concept is like. Basically, we believe that development is a management process concerned with the relations and the resources of the institution. In recent years we have come to realize that good management is dependent to a large degree upon sound planning. Therefore we have been and are now devoting much time and attention to improving our planning capability. Xavier has a student enrollment of about 1900, but as small as we are, we have concluded that the planning process should not be carried out under the direct supervision of development staff. We have worked out, at least to our satisfaction, the kind of team approach that provides the information and the processes to support not only our development function, but also our academic, our fiscal and our other management functions so that we can tell a prospective donor precisely what our needs are, what kinds of investment options are open to him, and what benefits the donor and the institution can derive from those investments. In other words, at Xavier we try to include a lot more people than just development staff and a few select volunteers in the fund-raising process. Our many needs are for the basics rather than the exotic. The only way we can meet those needs is to spread throughout the interconnecting networks that make us an organized community a clear understanding that every member of the team can play a role.

Second: The president must provide staff and budget to fit the college's concept of development. It is his responsibility to see that his chief development officer is successful. The president must open the way for two-way communication and give the development officer time to demonstrate his capabilities. He must also evaluate development staff performance against agreed-upon objectives. An excellent opportunity for the president to exert leadership is presented in the setting of those objectives.

If the objectives are to have inspirational value, they must represent a blend of contributions from both the president *and* the development officer. If the objectives are nothing more than a laundry list drawn up by the president himself, there is apt to be less enthusiasm on the part of the development staff because it is the president's program, not their program (and I am not sure I would want to hire a timid and unimaginative person to perform a function that requires so much initiative and imagination as that of chief development officer). The development officer must possess the capacity and the ability to be chief executive officer for the institution. Ideally the president should be able to draw from the development officer all those things he, the president, would like to see done. However, I must confess that I have not reached that ideal and I will suggest to my colleagues that you make sure to get your two cents' worth in when the list of objectives is compiled. The important thing is that goals be understood and mutually agreed upon; that they be the result of team effort.

Third: The president must take the leadership in solving nitty-gritty problems which preclude development success. For example: a business manager who won't approve justifiable travel expenses; a finance officer who receives and receipts gifts without informing the development office; an alumni association which believes it must have complete autonomy and in the process of seeking that autonomy is uncooperative, unproductive, uneducational, and misusing funds; a trustee who wants to administer the development office, or a faculty member who seeks support for his pet research project without clearance from or coordination with the development staff.

All of us know far too many examples of these kinds of conditions in our institutions, but I am becoming more conscious of the need to improve coordination between development and two of Xavier's key administrative offices: *Financial Aid* and *Admissions*. Our concept of development covers the range of concerns dealing with the University's relations and resources. It is absolutely necessary for us to first achieve good internal relations if we are ever to have good public relations. What more important point to begin with than our own staff who determine the numbers and quality of students we admit? How we treat these students once they are enrolled has a tremendous influence on how our institutions are known, how our alumni relate to us and society, and how good are our chances for attracting further support.

Fourth: The president must ensure that the development office has something to sell — that is, he sees to it that the institution and its members are continuously studying itself and themselves. He must guarantee as well that the development office is not *overselling* the institution. He must make sure that he and his colleagues have *planned* the institution, articulating the case and the needs of the institution. He must arrange for the chief development officer to participate in and become an integral part of this process. At Xavier the development officer is an active participant and key member of the committee that supervises our planning process. We call this committee the Planning Team and it is chaired by the president.

Fifth: The president must have a clear idea of the responsibility of his governing board in general, and specifically as it relates to development. The effective president sticks his neck out to push and pull trustees to accept the development program as *theirs*. Two important questions must be asked at the beginning of every trustee meeting: First, "Should the president be retained?" If the answer is "yes", the other question is, "How can we help him achieve our goals?" Therefore the president should surround himself with trustees who complement his strengths and weaknesses. A president who is frightened to death to ask for a million-dollar gift for the college but who can state the case for the institution in an inspiring fashion should team himself up with a trustee leader who may not be as articulate but who can ask for the million dollars persuasively and knows how to close a deal because of his competitive business experience. The president must manage his board or they will manage him and then, inevitably, they will get involved in administrative matters. Nothing can be more destructive, not only to potentially effective groups of volunteers but also to the administrative team itself, than to allow able men and women to waste their talent and time picking nits while the challenges they should be grappling with are ignored.

Sixth: The president builds a management team-operation made up of college officers and constituents concerned about the institution as a whole, including its development program. Each individual on that team – students, faculty, staff, alumni, trustees, friends and all of those who make up that category called "others" – has a role to play. Two particularly successful attempts to make the team concept work at Xavier are worth noting. One strictly involves staff and the other involves the various groups of internal and external constituents I have mentioned.

With regard to the team approach with staff, we have found it useful to hold a weekly meeting of the top administrative officers, sometimes referred to as the president's cabinet. This includes eight people, and every Wednesday morning we come together in my office to discuss agenda items which are of sufficient urgency and concern to the total group. My role as president is always to assure that the meeting does not degenerate into a two- or three-way dialogue, or worse yet, a monologue from me or anyone else. Invariably, we have found this to be one of the most valid testing grounds for new development concepts, and more importantly, for solving problems before they become crises. The student services officer can present valid points of view from a student perspective; the university dean can predict to some degree faculty reaction; the fiscal officer can tell us we can't afford it; the planning officer can confirm whether the idea presented is in line with or in conflict with our projections, and the director of religious affairs can shower or withhold God's blessings.

The point is that as chief executive officer for a complex organization one sits at the top of a pyramid with very little authority, very little power and too much responsibility. I have found it advisable to take advantage of every opportunity to share responsibility, to exercise power through other people who will wield it gracefully if only they are properly informed and motivated.

Our weekly staff meetings have provided me with a singularly effective means to get things done and I will continue to take advantage of this device so long as it works.

The other team experience I refer to includes trustees, students, faculty, administrators, alumni and various friends (and critics) of the university. We decided we should examine our governance structure and possibly change it. We called together an eighteen-member group of representatives from our various constituencies, appointed them to the Xavier University Commission on Governance, gave them all the information we could gather on our background and our current situation and asked them to tell us what we should do about the future. Do you know, they actually did it! Moreover, we are doing what they said we should do. Among the beneficial fallout from this most interesting exercise has been our picking up several excellent trustees who participated in the Commission on Governance study. We got to know them before they joined our board and they got to know us pretty well, too. As a result, they are both supportive and realistic in how they hold us accountable for carrying out the policies of the institution.

Seventh: The president must spend his development time where it counts the most. If his development officer has studied and tested the market and identified the top one per cent of the institution's prospects/suspects, this is where the president's focus should be.

We have all heard about the importance of prospect research, about the solid homework required for successful fund raising. For most of this research, the president must hold the development officer accountable. But if you are fortunate enough to have a good development officer, please remember to take enough time to pass on to him whatever information you yourself pick up about prospects, whether they be foundations, corporations, alumni or wealthy individuals. I can assure you, you will make the development officer happy and do the institution a favor at the same time.

The top one per cent of the institution's donor prospects, which are the president's prospects, he should diligently work and cultivate as fertile fields in collaboration with key trustees and other volunteer leaders. In addition to the individuals, foundations, corporations or other organizations included among these prospects might be the church groups related to some of our colleges.

Contrary to popular belief, we presidents spend far less time on fund raising than we complain about. Certainly, the president's prospects for support are not *all* alumni, *all* citizens of the community, *every* foundation in the country, *every* corporation, *every* parent, and *every* wealthy individual. If the president counts as development time his making speeches to alumni clubs, attending meetings and conventions, speaking at luncheons or Sunday services at churches and writing articles for learned and not-so-learned journals, he may be expanding his horizons or his ego or getting free meals, but he is not raising money for the institution that is his meal ticket. In fund raising as in all management tasks, it is not just *what* you do, but *how* you do it, that is important . . . and results are what really count.

Eighth: The president (now that we have perfected him) cannot tolerate poor performance from his development staff, other administrators, trustees, volunteers, or any member of the development team. "A body filling a position ineffectively can do more damage than a vacuum." If it is required for the good of the institution, the president must be willing to put his own job on the line in this competitive, exhilarating business of education.

Not long ago the office of the college president seemed such a green pasture, with peaceful students grazing intellectual pabulum, learned faculty too busy teaching to resort to meddling, money growing on trees (for some colleges anyway, present company excluded).

Perhaps the most difficult task for small, not so prestigious colleges like ours is to raise money, especially in these times of not so green pastures. But the burnt grass won't get greener if we sit tight or run scared.

Never before have the management and leadership skills of the president been so needed and so tested as they are during the trying times we live in now.

I am optimistic. I believe we have, not only within ourselves as individuals who represent leadership at our respective institutions, but also among our colleagues and constituents who comprise the institutional team, the capacity and the commitment to meet that test. And we, along with our institutions, will emerge that much stronger for having passed with flying colors.

Elements of a Development Program

ARTHUR C. FRANTZREB

The development function in the 1970s will be a test of the management skills of policy-making trustees, decision-making administrators and sales manager development officers to plan for and secure financial resources from constituents buffeted by new issues and new forces in our society, our economy and our educational system.

No longer can trustees and administrators expect development office proficiency to produce new and more dollars in isolation from what happens within the institution.

No longer can faculty "do their own thing," expecting magical production of their salaries by administrators and trustees in spite of all consequences of faculty actions.

No longer can alumni and "friends" reside in resplendent indifference, withholding leadership and financial support because the old campus isn't what it used to be, and forgetting that their generation went to the dogs before this generation did.

No longer can colleges afford publications, public relations, alumni relations and news bureaus which, under some flag of puritanical symbolism, remain aloof from action-oriented, financial and leadership response promotion.

No longer can development officers ignore personal and professional responsibilities to set and meet goals and to design hard-sell programs for annual, capital and deferred giving.

To achieve dollar goals and dollar needs for the seventies, greater attention to the management requirements for success than heretofore experienced will be mandatory.

The words, *sales, goals, schedules, profits, market testing, productivity* and *responsibility* have been no-no's in the educational vocabulary too long.

The development function is no more and no less than a sales management function. There are very, very few development personnel who have the inclination, personality or capacity to be or to become salesmen, much less sales managers. Yet any definition of their job must include all the technicalities, techniques and tenacity of sales managers.

Each year, reports are received of total philanthropic giving by all sources – individuals, foundations and businesses – to all causes. Of these billions, almost always about 85 per cent are given by individuals through outright gifts and bequests. All education receives about 17 per cent of the total, and people – individuals, not foundations, not business firms – give the bulk of all funds given. These are the dimensions of the development officer's job at your college. How are you to get your fair share?

The development program for the seventies must be a thoroughly prepared plan based upon honest, open academic validity, realistic appraisal of philanthropic potential, concentration on major, large-gift potential sources of support, careful strategy of conditioning and solicitation, and a sales-management-sensitive development officer.

Perhaps the development function can be best described by means of a diagrammatic formula (not a mathematical equation but a proven teaching device).

$$\frac{A\,(B/S) + P\,(A/F) + N/O}{C + C^2 + P\,(R) + V + ASK} \times DP \quad \frac{S + B}{A + C + P} \quad \times S/G = \$\$$$

The formula symbols are:

A – authenticators
B – governing board
S – sponsors/council
P – plans
A – academic
F – financial
N – needs
O – opportunities

C – case
C^2 – conditioning
P – prospects
R – research
V – volunteers
ASK – the asking process

DP – development plan
S – staff
B – budget
A – annual giving
C – capital giving
P – planned giving
S – schedules
G – goals

Let us examine in detail each of the elements of the formula in terms of what they mean to the president and development officer in planning and managing the selling of college needs and opportunities to constituents through a development program.

"A" – Authenticators – are those individuals who, by reason of their presence and by reason of their responsibilities, say "This college is good; this college is doing its job. I believe in this college; I work for and give to this college. This college deserves to thrive and be in man's service." Authenticators who are trustees also have a legal responsibility to assure and to ensure good management. Sponsors enlisted as volunteers to extend the arm of the trustees in a development council or other committees serve to further authenticate the purpose, service and need for continuity of the college.

What does the board have to do with the development function? The very composition of the board must serve to authenticate, to validate, to tell the constituents of the institution that members are respected and responsible leading citizens, carefully balanced, representative of economic, professional and other social groupings. If the board is not so constructed, then the president will find it difficult to stimulate non-board members to rally to the cause and needs of the college when its own board may not represent, inspire or motivate persons of greater influence and affluence. This very simple but tremendously important fact of human relationships goes back to an old principle that a fountain rises no higher than its source. There are rare exceptions.

American philanthropy is "trustee inspired, volunteer centered and staff serviced." Trustees must lead the way. The development program must be their program. The development officer must be their sales manager; the president, chief executive; then, as a team, the development program can begin to unfold. To the extent to which authenticators are not up to leadership demands for the seventies, just to that extent will success of the development program fail to meet potential.

"P" – Plans for the future are notoriously lacking in our colleges today even after a decade of talk about them and urgency for them. Long-range academic plans ("A") and financial projections ("F") must exist if the college is to convince any sophisticated donor that his assets will be best used at that college.

Whatever the president and the development officer have to sell – in terms of program, people, equipment, plant, faculty salaries, student aid, endowment – should be based upon thoroughly studied academic requirements. These requirements should be converted to financial projections, considering funds from all sources and documenting those additional resources required to meet operations, capital, and special program needs. Money cannot be raised in a vacuum. A college without such plans is operating in a vacuum. The experienced development officer will ascertain this before his employment and conclude the situation he is expected to manage is impossible before he starts.

But there is one more factor: the president must involve the development officer in planning either as a team member or observer. The sales manager must know what he sells – the process, the priorities, the arguments, the resolutions of planning – to better understand and communicate to the volunteer salesman and the college constituency the validity of his sales plan as rooted in sound academic and financial planning.

"N" – Out of the planning process will come the need for philanthropic support, whether for annual budget, for special capital needs, for major capital needs, or for endowment for stability and security. The needs should be woven into a total development program. Colleges should not falter in communicating total needs in order that constituents be aware of the full requirements for the future and as evidence of management preparation for the future. Priorities can be set according to pressure for needs to be met and/or potential for achievement. But hard experience has taught us that donors with substantial potential will consider their immediate and ultimate gift potential in terms of total needs of the college.

"O" – Gift opportunities are the pegs on which special interests are hung and gifts motivated. Unrestricted gifts are the president's dream, the business officer's soul and the development officer's zeal but the donor has his own motivations. Gift opportunities should be diverse as to nature and size. Colleges have not adequately marketed all the possible gift opportunities which could be of assistance for budget or special needs. Some such opportunities are existing buildings, rooms and facilities; campus beautification and care; equipment renewal; library acquisitions; rare book funds; presidential office endowment; faculty assistance funds; publications; remodeling and modernization funds. The amount of the gift opportunity should reflect the value of the gift to the donor, not actual cost to the college.

These are above-the-line planning considerations of the formula. Below-the-line factors are implementational considerations.

"C" – The case is the sales story for the college. It should tell why a donor's dollar is best spent at the college and why it provides the greatest reward and satisfaction to him. It should also convey confidence that this is a wise investment in the college. The case should not be an historic document.

It should be a warm, human, motivational statement of why the college exists, emphasizing its role in meeting significant social needs. It should offer proof of the college's promise of greater achievement. It should tell and sell the institution so the reader is moved to act at his highest capacity. The case statement cannot be an academic treatise, nor is it a doctoral thesis. It must be a *sales* document usable for both volunteer leadership enlistment and gift stimulation and action.

"C^2" connotes the urgency and necessity for continuous communication with prospects. Trustees, presidents, some volunteers and some development officers often race to ask a prospect for a gift only to find coolness and disappointment waiting.

Harold (Sy) Seymour, a dean of the art of philanthropic fund raising, outlined six points in a psychological sequence of success which are appropriate to recap here. This sequence of selling is paraphrased as follows:

Attention: The prospect must be aware of problems, opportunities, potential, quality, authentication, a plan of action, interest. After his attention is gained the prospect can be made aware of the diversity of people, the diversity of services, in order to find his particular interest or concern at the particular institution.

Interest: The critical second step of success is gaining the prospect's interest. People are attracted to people, to ideas, to ideals, to concepts. Infrequently are they attracted to budget needs or buildings. Also people are attracted to and respond when their own interests are appealed to. Thus the institution must answer the prospect's questions most subtly: Why me? Why should I get involved or be concerned? What does this mean to me or my family? Here the pride of association is a great motivational factor – pride in identification with the institution, its president, its faculty, its trustees, its program, its services, other volunteers. A prospect's interest cannot be assumed, it must be assiduously sought and won.

Confidence: After his attention and interest have been piqued he must gain confidence in leadership, in management, in personnel, in service, in the students. The communication of confidence is a most difficult achievement because it is most intangible.

Conviction: The prospect must gain assurance as to the merits of the institution which has gained his attention, attracted his interest, and instilled confidence by proving the advantages resulting to himself from his involvement and support.

Desire: The prospect's desire to be part of a program for future security and stability is most difficult to achieve. The prospect must *want* to be involved. He must want to have a financial part in achieving goals of quality, distinction, success. He must desire the personal satisfaction which comes from involvement and participation. The president's greatest task is to transform conviction to desire, then desire into action.

Action: This is the payoff – when a leadership prospect says that he will accept the chairmanship or membership. This is the test – when the prospect says that he will give to the extent of his capacity. This is when the prospect says that he has heard the sales story, he has become interested, he is confident of the merits of the institution, he is convinced that it must be

maintained and sustained, and that he desires to help in its assurance of stability and security.

There is a point beyond which the cultivation of a prospect can be counterproductive. Individuals or organizations that are the object of attention over a protracted period without being asked to do something can become suspicious, knowing well that they are being set up. If the request for action does not materialize at the right psychological time, their interest beyond that time can wane. Therefore, philanthropic planning and fund raising are an art in the study of people – prospect by prospect, project by project.

"P" is for prospects. Prospects for philanthropic support include all matriculants of the institution, parents and families of matriculants, friends, individuals in the community, church members, business organizations, private foundations, past and present faculty, past and present trustees, past and present staff.

"P (R)" – Prospect research is a critical part of the development officer's role if the human resources of time and talent, and the financial resources represented in budgets, are to be used wisely and with the highest possible productivity per man-hour and per dollar spent. Therefore, thorough prospect research should result in determining from among all constituents those individual or organizational resources which have the capacity to produce the greatest results earliest and continuously. A rule of thumb long established – unscientific but proved through practice – indicates that ten per cent of the constituency can be expected to be above-average donors. This average may be $100 for annual giving or $1000 for capital giving. It is very important to determine who the ten per cent are to whom thorough study must be given as *bona fide* candidates for substantial gifts.

There is another rule of thumb which says that one per cent of the constituency can be expected to be prospects for *very* substantial gifts. These may be the individuals or organizations that, unknowingly or knowingly, hold within their hearts and hands the capacity to assure the stability and security of the institution's future.

A public relations text many years ago stated that every college president should determine early in his administration those hundred individuals whose support can make the difference in the survival of the institution. How many college and university presidents, or headmasters of secondary schools, or administrators of hospitals know their hundred special prospects? Yet there exists a blind belief that some large number of individuals, at the sound of the clarion call, will come forward and cause a continuing ringing of the development officer's cash register. Not so. Successful philanthropy is engineered, using all the resource mechanics possible, with the understanding that in the final analysis the prospect's readiness and capacity must be carefully studied, strategically and logically, for the best possible results for the institution and the greatest personal satisfaction of the donor.

"V" – Volunteers are the front-line salesmen for the institution. Trustees (authenticators) must lead the way, set the pace, set the tone, lead first and give first. Then other volunteers who are carefully selected, trained and conditioned to be salesmen for the institution carry the message and bring

home the results under the tutelage and assistance of the development sales officer. Here the test of the development officer is in his teaching ability as a sales manager to train, inspire, assist and prepare the way for volunteers. The sophisticated development officer will enlist no more volunteers than his administrative staff can handle. One learns early in this business that happy, productive volunteers are directly proportionate to the staff service they receive. Individuals who promise to give of their time and of their assets can become ineffective if they are not well handled continuously. And volunteers are susceptible to a philanthropic disease known as "campaign fatigue"; people can become tired and worn out. Volunteers who are tried and true are needed, but institutions today should look also for new leadership, new volunteers, fresh approaches, new vigor to carry out new plans to meet new forces and new issues in a new decade for new national and social needs.

"ASK" – With all the planning and preparation, the moment of truth in the efficacy of the institution is the moment when someone asks specifically for a dollar response – a specific participation. Always such asking should be without apology. The prospect will decide. The asker must be sure that the amount asked corresponds to the estimated capacity and interest of the prospect.

All of these factors can now be woven into a development plan, and there must be a development plan just as there must be an academic plan, just as there must be a financial plan, just as there must be a master plan for the institution.

"D P" – The development plan is a sales plan. Taking into consideration all the formula elements, the development plan is a design to get people to give of their time and assets, to ensure stability and security of the college, not just to meet needs. "B" is a reminder that budget costs must be considered an investment which should achieve maximum levels of productivity in three to five years. Usually more than one staff ("S") member is required for realizing full potential. Relations may include alumni and public relations specialists. Fund-raising personnel may include annual giving and planned giving specialists. In terms of back-up personnel, the most indispensable person should be the Records and Research supervisor who is the "R and D" department for all prospect information.

"A" – Annual giving is the backbone of all development operations. Emphasis in the seventies will be on the special, large gift donor. These may constitute ten per cent of the college constituency. Mass solicitations will become more and more infrequent due to low dollar productivity and increasing cost of mailing. Greater funds will come from fewer sources, challenging the capacity of the development officer and administration alike.

"C" – Capital funds for plant and related needs will also come from few resources, *not* mass solicitations. Sophisticated colleges with advanced programs installed and established will undertake intensive programs among their constituents for public relations and prospect research purposes. Here fund raising will be incidental. Costs then will be related to public relations, image building or sales requirements.

Capital funds will be related to "P", planned gift programs, whereby the

various techniques and devices of postponed giving will be of maximum benefit to college and donor alike for current needs as well as endowment.

Withal, the development program must have schedules ("S") and goals ("G"). It is the human condition that people just simply will not work unless deadlines of time and goal objectives are set and adhered to. Great plans and urgent needs falter and go unmet because weak administrators do not or cannot set goals for themselves or others.

Our diagrammatic formula sets forth all the prerequisite factors, features and techniques for a development program. It does not provide for common sense or executive judgment. It does not provide for experience or use of counsel. It does not provide for reason, patience, persistence, understanding. There are special characteristics of the heart and mind which must exist in generous proportion in the human equation.

The development program is a sales program whereby the college makes it possible for people to do what they would really like to do when they know where, how, when and why.

But, when all is said and done, fund raising is neatly summed up in a remark that has been around over twenty years – author unknown, validity beyond dispute –

Fund raising is a series of disappointments sprinkled with a few brilliant successes, most of which were unexpected.

Developing the Case and Long-Range Master Plan

J. GARBER DRUSHAL

At the outset, let me summarize what I propose to present in this paper. First, I would like to develop the definitions in the title assigned to me. Second, I would like to talk about the concept of partnership; third, the internal structure essential to this partnership, and finally, the interaction of structure and plan to produce the case.

I. Definition of Terms

The term "case" is borrowed, as I am sure you are aware, from legal terminology. Further, your college debaters use it very frequently. In each instance the word speaks to the completeness or totality of a presentation, the fundamental base of the argument, the stance or position which will carry the day. When making a presentation before a foundation, perhaps you have never thought of yourself as practicing before a court of appeals or the United States Supreme Court! There are more similarities than differences, which I shall not explore further here. The "case" for a college or university or any other charitable organization which seeks to secure money is simply the presentation through which we hope to convince those responsible for the assignment of funds, whether individuals or organizations, that our particular college and the particular project are worthy of their support.

For this reason it seems to me that there are two fundamental parts to a "case."

First, each college must have a statement in writing setting forth openly, sincerely and completely its reason for being. This part of the case is used not only for fund raising but for the interpretation of the purposes and goals of the college on campus, to new faculty members, to students, to alumni, and to all of those interested in the college. It is a basic document which, although subject to development and amendment from time to time, remains the clear statement of what the college is all about. It answers such questions as: To what purpose does our educational plan operate? Whom shall we educate? What are the distinctive commitments, the concerns which guide in all decision-making and planning? It is more than the contract of the catalogue. It is the document which justifies the commitment of the lives of persons involved to this particular institution and its educational program. Each of us must have such a document as the foundation for the second kind of case building as well as all planning.

The second aspect of the "case" deals with a specific presentation to a specific potential donor. Here, for example, we may deal in one instance with a foundation or individuals known to be interested only in science. In that event we develop reasons for supporting the kind of science program we envision in terms of the grand strategy of the institution as stated in its basic document. Further, a donor interested only in the arts, the theater, in overseas studies, or any particular aspect of the institutional program, is similarly

approached. The case for a particular gift sets forth the contribution that this particular type of program contributes to the over-all goals of the college, or the particular case shows the college developing its general case.

Hence we see that the term "case" involves two parts. First, the carefully prepared statement of the reason for being, and secondly, the statement showing how a particular program for which we wish support carries forward these goals of the college.

Any definition of a "long-range master plan" is difficult because I believe there are two inherent hazards in long-range planning, which too frequently lead to institutional disaster.

First, we often find an elaborate set of goals and procedures written out, often superimposed by experts from the outside, always beautifully bound in plastic covers which are then laid on the shelf. The plans have been discarded simply because there may not have developed an across-the-board institutional commitment, or because they presented patterns which are not understood; or, indeed, they may have been too complicated for the organizational structure of the college involved, or may not have been based upon the basic case—the reason for being of the institution.

At the other end of the spectrum is the other hazard. A long-range master plan may be so binding and restrictive that there is no latitude for adjustment to new factors that come into being later. After one moves ahead even less than one academic year, new problems will likely be faced which need a new rationale. Such a binding plan becomes a stricture on growth instead of a guide.

To define it negatively, a long-range master plan is not a special instrument which sets down in one place all of the answers to all of the problems of the future. Rather, it must be a developing interpretation of the total educational program which will include long- and short-range aspirations, guidelines, and *especially evaluation checkpoints.* It has built-in *adjustability* and *adaptability.* It will include a list of options which may be selected according to the exigencies of the moment in any given year. In one sense it is always in draft form, subject to at least annual review.

II. The Concept of Partnership and Participation

A former dean at our college liked to say, "Often one may have the facts and still not know the truth." Even so, it might be helpful to share briefly some of the historical development of our administrative and institutional attitudes at Wooster in the hope that we can at least come close to sharing something of our truth with you.

Shortly after my election as president of the college, the committee in charge of the inauguration exercises began to hint that they needed a topic for my address on that occasion. As the program printing deadline drew near, they did more than hint, and standing in the foyer outside my office one afternoon, the chairman of the committee made the remark "Our group is working together as partners, so I am sure this occasion is going to come off well." Although I had known for some time what I wanted to say, I didn't have the phrase for the title, but I got it from his comment. I spoke on the subject "Partners in Understanding."

Sparing you the ordeal of a repeat of that 1968 address, let me summarize it by saying that I emphasized that in my judgment a college consisted of a partnership of its various constituencies. On campus these could be represented by the administration, the faculty and the students. We also included the constituency in the city of Wooster, the members of the alumni association, and the many friends of the college around the world. The ultimate policy makers are the trustees. My thesis at that time, which has been the theme of my administration, was that a college could exist in the years ahead only insofar as this partnership concept dominated our activity, our planning and our educational thrust.

Such an approach was not entirely new to the campus, nor indeed to higher education. There had been a history of strong faculty participation in academic matters as well as various kinds of student organizations, all working under a very strong board of trustees. My goal at that time was not so much that these individual groups should abandon their rather easily identifiable roles and responsibilities, but that in addition there should be an increased sense of working together, a sense of increased participation of each in the total program of the college, as well as the involvement of the constituencies which had been at best on the periphery of our development of programs and policy.

We have tried to establish this attitude of partnership as the basis of our policy development.

Beginning in September 1968, when we held our first campus conference, we have tried to implement this concept in various ways. It has meant not only the involvement of students but of alumni, and especially of a very active board of trustees. The board not only meets on campus three times a year for two days each, but we try at least on the evening before, and on at least one occasion both the afternoon and evening before, to have sessions in which the trustees, either as a group or by sections, meet with the faculty, students and administration to discuss informally the problems facing the college. There is now a student-trustee committee complementing the faculty-trustee conference committee of many years' standing. Students, faculty and alumni assist in student recruiting and in fund raising. Similarly, on-campus educational programs are developed with all of these constituencies in mind, and often with their direct assistance.

Let me cite only one illustration of how this philosophy had an operational effect.

The Educational Policy Committee of the faculty voted, and the faculty supported, a change from the semester credit-hour plan to a quarter course plan. It also involved an overhaul of the freshman program, language requirements and others. A major move of this kind needed the approval of the board of trustees. However, before taking it to the board for a vote, we discussed the matter with alumni in various parts of the country, with leading citizens in the city of Wooster, and had conversations with other friends of the college around the country. In the usual parliamentary sense, they were not voting on this issue, but they were given an opportunity to suggest strong views which could then become a part of the rationale of those who did the ultimate voting, namely, the board of trustees. The faculty is still responsible

for academic policy, and the board still votes the final approval, but *each votes in the context of awareness of the needs and views of all constituent groups.*

One further application of this principle should be noted. Like everyone else, we are aware of the statistical projections which have dire consequences for enrolment and for the fiscal soundness of private colleges over the next decade. There were two approaches which could have been taken. The first, which we did not follow, would have been for the administration and one or two key faculty members to huddle within the shadow of the computer, extrapolate disaster, and report to our campus and broader constituencies how we were going to cope with doom.

We chose another path. Early in 1974 we decided to involve a wide group of our constituency in discussing the nature of the college and its responsibility as well as its chances for the future. We explained to the three major faculty committees (Teaching Staff and Tenure, Educational Policy, and the Financial Advisory Committee) the financial situation for our campus. We also shared with them the demographic projections by various experts. We reviewed the problems of fund raising. We suggested some assumptions about the national economy, which guided some of our decision-making in terms of our endowment and fund raising. We then asked the joint group to develop what they believed to be the major strength and problem areas of the college. These were then discussed in turn by various faculty groups, by the executive committee of the board and then, in June, by the entire board of trustees. In the ensuing summer (1974) we held luncheons in eight cities, including Wooster, where we invited foundation executives, leaders in business, and alumni to gather for small discussions of these same points. The alumni board has been involved similarly in these continuing discussions. Out of all this is developing a sense of what our constituents hope the college can become in the days ahead.

What we try to say to all of these people is simply that they are part of the action. It is imperative to involve individuals who can give. They will do so only if they possess an identifiable involvement with the institution. Hearing the case for the college then becomes an explanation of the needs of something that is already a part of their lives.

To sum up, it seems to me we need to develop a sense of partnership in the educational enterprise, and to utilize as wide a variety as possible of the discussion and communication techniques which will enable us to involve our total constituency in the operation of the institution. We then have a base from which to prepare a "case."

III. The Internal Structure

To achieve the result of partnership or, to state it differently, the means to the end which I have just described, it is important that the internal structure be dominated by an attitude of partnership participation.

As with all of the other bucks that stop on the president's desk, the president is responsible for planning, and is the real planner of the academic enterprise. However, as we all know, this cannot be an individual operation in the sense that all of the ideas come from one genius. It is important to have a structure for planning and development.

In our shop, I lean very heavily on what we call the "Executive Staff," made up of the three vice presidents, the treasurer, the dean of students, and an administrative assistant. In many areas we make decision by consensus, but the responsibility for the decision always rests with the president.

We have recently revised our Statutes of Instruction which are, in the usual terminology, the bylaws of the faculty. There we have, among the committees normally found, three major groups: the Committee on Educational Policy, the Committee on Teaching Staff and Tenure, and the Financial Advisory Committee. Members of the administration are involved on each of these committees. Each may meet with various members of the board of trustees and of the alumni board, and the committees have, on occasion, brought in outside consultants.

We have recently added an assistant to the president who is charged with the responsibility for data gathering about our various programs. From these facts and after discussion with various committees, he will prepare alternate proposals, optional programs and plans, and present them to those involved in decision making.

An important part of any successful operation is a creative and active development department. The development function should not be viewed as an appendage that has been reluctantly added to the main structure of the institution. Rather, it must be regarded as an integral part of the total educational enterprise and respected for its professionalism and performance by all segments of the college community.

We believe we are fortunate enough to have such an operation. We have some staff members who devote their time to research and data gathering, as well as others who work in the field interviewing and carrying our case to the donors. With such a staff, it is with eagerness that I spend a very large fraction of my time, sometimes as much as sixty per cent in a given month, in direct or indirect development activity.

A parenthetical but major emphasis I would like to make here deals with the relationship between the president and the office of development. It seems to me that there must be a continuous flow of information both from the president's office to the development staff and in the other direction. The development staff must have continuing access to the president's office, time and life. Only in this way can the total external outreach system be expected to produce results.

One other point should be noted. I have discussed with you our attitudes and structure at the College of Wooster. The structure that we have happens to work for us, but I would not urge it upon anyone else. The structure, as well as the philosophy, must be the individual product and *modus operandi* of each institution. Westminster College in Pennsylvania, Westminster College in Missouri, and Westminster College in Utah, though all related in one way or another to the United Presbyterian Church, could not be expected to have identical structures, programs or guiding philosophies. Similarly, St Catherine's in St Paul, Minnesota, will operate differently than Notre Dame College in St Louis, though both are women's colleges related to the Catholic Church. What is fundamental and basic, it seems to me, is that each of these institutions and each of us develop a structure through which we may share

what we are trying to do with those who are our constituencies, wherever and whoever they may be.

In our fund raising, all of us deal with specific needs. The case which is made philosophically eventually develops into a request for specific dollars for specific programs. If the request stands alone, unrelated to a stated basic philosophy and not involved in the interaction of the constituents, it is a very weak case which will get favorable results only at the whim of the potential donor. If it grows out of a clearly stated interaction and a long history of such involvement, it is a strong presentation.

IV. Interaction of Structure and Plan to Produce the Case

The thesis of partnership suggests that the interaction of the institutional operation and the public statements describing that attitude and procedure constitute the case for fund raising. It begins with the general philosophical statement about the college, which becomes the point from which specific requests for specific projects are made.

At Wooster we have tried to state the case for our college in a pamphlet entitled *Risk and Commitment*. Here we set forth the kind of institution we aspire to be and to become. It is a statement of educational philosophy rather than of operational procedures.

What, then, is the case for specific fund raising which any college can make?

It is simply that there is something happening on the campus which will have a fundamental effect on society, on the lives of people away from the campus. It is a specific need. It is of sufficient importance that those not involved with our day-to-day activity, citizens in a variety of roles, must still be concerned with what occurs on campus and participate in it in a wide variety of ways, not the least of which is the contributing of money.

In order to develop a desire to share the responsibilities of decision making, they need to have a sense of belonging. Only from such a stance will a person desire to be a participant. A man who eventually became one of our strong supporters told me early in our acquaintance, "I have never played a second round of golf with or given a million dollars to someone I couldn't call by his first name." What he was really saying was, "I want to become your friend, and as friends we can work together." This must be the basis of the case that we make for any kind of program or general operations giving.

Where do foundations fit into this concept of partnership? In the usual sense of the term, few of them will be part of the constituency of a single institution. Even so, personal awareness of the program of the college on the part of some foundation staff member is important. Proposals to foundations must indicate the result of their grants, and how they will carry forward the educational program. They do not come to the campus as do, for example, the members of the alumni board, but they are real partners in the process, though perhaps one step removed from participation in the operation.

What of the long-range plan or a master plan?

No matter how much time you assign to your plan, how much length you give it, or how detailed its development, it must involve many constituencies. It cannot be a single document. It must be a composite of all of the state-

ments of the institution, and each must say something to each of the constituencies.

The external presentation of the college must grow out of the internal philosophy and structure. The options as they develop from year to year must be explained, explored, shared and ultimately selected. The partnership must be genuine.

Conclusion

The logicians among you may call what we have been talking about antecedent and consequent. The result, the consequent, is the gift support for our institutions. The antecedent must be the kind of case which reports on the interaction between campus and constituents. On the national scene we find it in the relationship between means and ends. What social ends or objectives would be unserved if each of our colleges quietly folded? Or indeed, if we are tremendously successful, in what ways is our culture better? These are questions we cannot escape today. If we can make a case for our impact on society, then we can expect the means to achieve those ends.

Our vice president for academic affairs has emphasized the presence of a contemporary attitude. He notes that the center of the development of our culture and the solution of our social problems is not now believed by very many to come from the campuses of the nation. Certainly many citizens no longer hold that view. Often in a kind of isolation we have turned inward with a self-satisfaction which was interrupted in the sixties and which in the seventies leaves us puzzled.

Education in some eras has had as its goal the replication of the past. Now this aim is not acceptable either to society at large or to those who support our colleges. The goal must now be to create the future, a future in which man can not only survive, but have a quality of life which is our best dream.

If this creativity is to emanate from America's campuses, as I believe it must, then we have the responsibility to involve in our creative act the total constituencies of our institutions. If we can achieve this process, then we have a case for contributing to our colleges which is socially justifiable. If we succeed, even in part, survival will not be the critical issue. Rather, we shall become again the essential centers for the generation of, not the old yesterdays, but a future which approaches mankind's highest aspirations.

The President's Leadership Role in Motivating Trustees, Volunteers and Donors

SISTER JEANNE KNOERLE, S.P.

I'm sure you as presidents must feel somewhat the same frustration I feel when all the pressures seem to be coming at the same time – and all aimed at you. When the dean's office wants to know how to react to a new major in horse care and management, and the student affairs area wants to test out a day-care center for migrant workers, and a donor wants to know if you would like sixty acres of swampland in Guatemala, and your secretary needs your reaction to the color of the new stationery. My reaction in these circumstances often is – can't anyone else decide those things? Do I always have to take the lead? And, of course the answer to that question is *yes, always.* There is no way you can sidestep leadership, no way you can be without an opinion in most of the circumstances of life. You are equipped for leadership. It was either thrust upon you or you sought it out. Its price is constant pressure to *lead.*

And in the arena of motivating volunteers the leadership style of the president is of particular importance, since volunteers have no direct responsibility to the institution, nor sometimes a strong sense of obligation. Therefore, your role in motivating them is a combination of inspiration, direction and support, which is dependent in many ways on the internal patterns of your governance and the relationships you have built with your own staff. Primarily this is so because what volunteers are most likely to need after their first agreement to become involved is a great deal of detail which must be supplied by you through your staff, promptly and consistently.

To backtrack a moment concerning the constituencies we are speaking about – trustees, volunteers, donors – I'd like to look for a moment at our relationship as president with each of them, and what we need and need not do.

With trustees we certainly *need* do a number of things. First of all, we need to keep in direct contact with all trustees, keeping them informed and cognizant of where the institution is, what it is planning and what their relationship to those plans is. This we can do by a newsletter, by periodic report, by visits where possible, but certainly by some organized method of communication devised and carefully implemented by the president and his or her administrative assistant, or by the public relations office, in an orderly and consistent way. This communication trustees should learn to expect, and it should in some way bear the mark of your personality, so that it becomes not an impersonal news release but their personal contact with the institution.

Trustees need also to relate to each other and to the other groups that make up the college community, and I believe it is the responsibility of the president to engineer circumstances so as to make this happen. We have done several, I believe, effective things over the last several years to help trustees, who come infrequently to the campus, to feel a part of the total institution.

First, we always have an open session at the meetings of the board, to which students and faculty are invited and at which they are frequently called upon to comment or react. This session helps to "show off" interested and intelligent students to the trustees and it helps interest those kinds of students in the total management of the college. Despite the problems of the last five or six years, the types of students attracted to the board meetings and vocal at them have been representative of the best of student opinion. We also try to arrange the meetings so that trustees are invited to student- and/or faculty-sponsored get togethers—in the lounge, in their rooms, at other central places on the campus — at the time they are on the campus for board meetings and to have them mingle with students and faculty in the dining room when that is possible.

Several years ago we also had a very successful retreat at an off-campus spot during which trustees, including husbands and wives, administrators, faculty and students spent two days discussing the long-range plan of the college, getting to know one another better and forming a real sense of community. I believe we are still feeling the good effects of that retreat, and we are now planning a second one.

Trustees are some of the most important persons in the institution. If they are to be responsible for policy decisions, they must be read into every aspect of the institution. I know this is difficult, given their schedules and often their distance, but trustees are powerful and important people, and I believe one of our greatest priorities should be to give them all they need to operate successfully.

Beyond that, we need to establish a clear organization to which trustees can relate in their work on committees. Certainly you as president need to know what work is progressing in each committee and should often attend committee meetings. Yet you must beware not to overburden yourself and lock yourself into a workload that is unrealistic and destructive of the long-term effectiveness of your office. This can only be accomplished, it seems to me, by a strong system of staffing of board committees by vice presidents or deans who act as a constant liaison between you and the work of that committee. It is because of the importance of that reporting process that I emphasized earlier the key role of your internal governing patterns and of the relationship you have built with your staff in the motivation and organization of volunteer workers.

An effectively working development committee, for instance, under the guidance of a board member chairman who knows he can count on the staff support of the development officer, who knows that all important ideas, questions and input will go directly to the president from that officer, that similarly ideas of the president will be brought directly to the committee through him, and that meetings will be followed up promptly and efficiently, will cut down significantly your responsibility for detail. Thus it will free you for the more important development role you must play in the creative cultivation of the large donor, or the establishment and review of the over-all case statement of the institution. It seems to me that the complexities of the college presidency today, and certainly the greater proportion of support of the budget by development funds, makes such an effective working committee on the board in the development area an absolute necessity.

No committee will raise the necessary funds to underwrite the operations of the college. But without the organization that a committee provides, without the work of the numerous volunteers that a committee coordinates, the broad base of support from alumni, parents, friends, corporations, foundations, government and other sources will not grow nor sustain itself. And consistent broad support is necessary not only for its own sake but for the sake of what it says to possible major donors.

Trustees and the president must be involved, of course, in the work of the development committee, but the key to the working of that committee is the development officer who staffs it. So to back up even further, then, the first and primary responsibility of the president in the whole area of development motivation of trustees is in the selection of the man or woman to lead the development operation. If that is done carefully and successfully, a great deal follows. If that position is inadequately staffed, the role of the president in the development arena becomes diluted and in many ways ineffective. And the primary responsibility of the development officer vis-a-vis his committee—and one of the roles on which he will be judged effective or ineffective—is to supply them promptly and consistently with the detail necessary to accomplish the cultivation and solicitation of those they have agreed to accept responsibility for.

Somewhat related to this work of the committees, yet separate from it, is the evaluation of that work, especially the evaluation of the committee work of trustees. "If the salt lose its savour, who is to salt it?" In an attempt to try to handle the problem of inactive trustees, we have established a Committee on Trustees whose major responsibilities are to nominate officers and new members of the board, to oversee the orientation of new trustees, and to constantly evaluate the working of the board. This arrangement gives a structure and timetable to the evaluation of the activities of the board and makes that evaluation an expected and general operation of the board. It also places the responsibility for evaluation in the hands of peers and supports the president in his or her attempt to develop the active working committees necessary to the coordination of volunteers.

Which brings us to that category of constituents, a very broad and diverse one. Some volunteers are the kind that give of their time and talent constantly and in almost every circumstance. Others are willing to do one thing and that alone. No matter which category volunteers belong to, they are indeed the lifeblood of a development operation, particularly because they are able to speak from the point of view of an outsider – not one hired to represent the institution, but one who has volunteered to do so because he believes in it. There is no one more likely to make an impact on a potential donor than such a person.

In my own experience I am aware of several examples of such an impact – particularly one during an important foundation solicitation, where three board member volunteers made a special effort, at great personal cost, to attend a briefing of a foundation executive on our campus. The briefing lasted only about half an hour. The executive did not have time to tour the campus but could only ask a half-dozen questions -- which both I and the trustee-volunteers fielded – and then he left. The solicitation, however, was

successful and the executive later confided to me that one of the most important elements in that solicitation was the impact made on him by the involvement and knowledge of those board members – who had come from great distances – because it spoke of their real belief in the institution and willingness to be personally part of it.

I was moved to seek their involvement at the suggestion of the development officer, who judged that the situation would be enhanced by their presence. They were willing to be involved on my invitation because they had faith in both my judgment and that of the development officer. Without doubt, that kind of trust in the judgment of those involved and willingness to work with them undergirds any development project that is successful.

Volunteers, of course, are not always board members, nor are they always so closely related to the institution. Often they are persons the president hardly knows but who do a tremendous amount to contribute to the well-being of the institution through work on a mailing, a telethon, a recruitment program or other kinds of specialized volunteer work. What then, as president, need we do for them? There is no doubt in my mind that every volunteer, in whatever capacity, should have some personal recognition from the president – some opportunity to say to a friend, "I got this note from President Moonbeam of Starlight College," or "I was chatting with the president last night; he called to say hello. I helped them out last year on a fund drive. A great place – fine people!"

Besides the individual note or phone call, we have also used the concept of the special dinner or special day to recognize the work and contributions of volunteers who are, by that very fact, also donors. Several years ago we had a special Recognition Day which culminated with a dinner and the unveiling of a hand-lettered scroll carrying the names of several hundred persons we were recognizing that day – a scroll which now hangs, framed, in the college library, and which we encourage those who could not attend that day to view when they visit the campus.

This year we are having a special program for Foundation Day, emphasizing the history of the institution and dedicating a new historical display. We have prepared a booklet as a special memento of the day and of the college for those we wish to remember and have personalized it with their names.

I use these simply as examples of the kind of remembrances, from the very simple to the relatively complex, that make the lives of the volunteers richer and their volunteering days longer.

Undoubtedly the richest vein of volunteers lies in the alumni, persons closely related to the institution and at least at one time seriously influenced by it. Many alumni are just waiting to be asked for their help. Your responsibility in their motivation may be once removed or sometimes twice or three times. But your involvement – again through an efficient and effective staff – in the recognition of their efforts will guarantee their continued interest and willingness to be involved in the institution.

I have seen instances, in fact I have unfortunately experienced them myself, in which a staff member failed to follow through with a volunteer and effectively alienated a whole volunteer force, creating a negative environment

which later needed to be rebuilt painfully and with a wasteful amount of energy. Again, the relationship you build with your own staff is the key to the relationship you can sustain with the large number of volunteers necessary to effectively run any institution. You need to be able to trust the people who work for you – their judgment, their follow-up, their representation of you and the institution.

Another segment of willing volunteers is the on-campus manpower represented by faculty and students. There is little doubt that the combined force of faculty and students, when they are organized to speak for the institution, has a peculiar power and a unique flavor of authenticity. These are the people who know the present college best – the practitioners, the buyers, the users, the speakers for the present and the future, just as the alumni are the speakers for the past. They are often willing and anxious to play that role, but their participation must be carefully engineered so as not to interfere with their primary role as teachers and students and so as to make the most effective use of their involvement.

There are numerous patterns in which this can be done. One of the most common is their involvement in telethons, easily coordinated through the development office and not terribly time-consuming for any of the individual volunteers. An evening of calling alumni, parents, friends – perhaps five to ten completed phone calls – is a job that most faculty and students can do easily and with a certain amount of pleasure. A more complicated fund-raising device such as a carnival, a scholarship walk, a weekend fair, a dance, or some form of organized fund raising can also do a great deal to cement the loyalty of students and faculty to the institution by giving them a role to play in its continuing growth.

Your role in the organization of such an activity is probably minimal – though your role in stimulating their original desire to contribute to the development of the college is probably central. No matter what size the institution, and despite the anti-authority stance of students during the past five or six years, students and faculty alike are affected by and responsive to the president's lead. In direct and indirect ways, they absorb his or her understanding and expression of the nature and mission of the college, and unless they feel strong leadership emanating from the president's office, will have little desire to step into roles of leadership themselves to rally interest and support for what they believe is an institution of enduring value.

How you relate to faculty, how you become identified with students, how you expose them to your posture and beliefs, will differ from campus to campus, controlled by the nature of the campus environment and the leadership style of the president. Some will sponsor a series of dinners or coffee-klatsches with faculty, some will chat with students, some will issue a newsletter, some will be interviewed, some will use the campus radio station, some will speak at convocations – but no matter what the technique, the *principle* that you must speak for the institution to students and faculty as well as outside publics is absolute and should be one of your many priorities. Once you have fulfilled that major responsibility, and students and faculty have responded with a willingness to become involved, you must again call on your efficient staff to undergird that involvement with a support structure that

makes it feasible within the limited time at the disposal of these important volunteers.

Again, I have had the unfortunate personal experience of issuing an invitation to students and faculty to become involved in the development of the college and received their interested response, only to have staff insufficiently prepared to use them properly. The final effect on a willing volunteer who doesn't know what you want him to do is to turn him away in frustration. I suppose one always learns more from failure than from success, and one thing I learned very forcefully from that particular experience was the necessity of beginning with a carefully selected structure into which to invite volunteers and then issuing a clear invitation for them to fill a specific and limited role within that project. Volunteers need to be able to measure their success, and what you ask them to do should have some measurable effect. The work that produces only long-term results should be saved for your staff, who have the motivation and relationship to the institution to do it.

Now to look at the last of the categories we are speaking of – donors. There your relationship is much more personal and individual. Once again, of course, you are called upon to represent the total institution to the best of your ability as president. In terms of your role vis-a-vis donors, I risk sounding perhaps too fundamental. Constant contact with, and continuing interest in, those persons who are able to support the college is the major basis for any large gift and represents the mode of operation necessary for you over a long period of time. Here, while your staff is important in providing you with the information you need, and perhaps in setting up some of the appointments for you, you are essentially responsible for the follow-through. Board member involvement in major solicitations is important also, of course, yet no one can speak for the institution in the same way that you can.

Your enthusiasm, your knowledge of directions, your sensitivity to the climate of the college and of the donor's particular interest in it, your strong articulation of its mission and belief in it, will provide you with the subject matter of any number of presentations. Your patience and perseverance in building the interest of someone only peripherally interested in the institution through innumerable small steps, your alertness to every opportunity to speak for the college – are characteristics you must consciously build into your daily job as president.

Many presidents, and I was certainly among them, came into their office with no background in development and no stomach for it. Historically, the presidency was an academic job. But the present and the future are making new and insistent demands on the president and one of those demands is that the president act strongly in the role of chief fund raiser. If you cannot bring yourself to fill that role, it may be important to examine your qualifications to fill the demands of that position in light of the college's priorities. For indeed the essential role of the president in the development of private support is to be the energizing, vitalizing central force that will provide the institution with an enduring future. No matter what else you do, unless you do that you do nothing. And whatever else you do, if you do that you are indeed a creative and successful leader.

The Trustee Looks at the President in His/Her Development Role

ALFRED C. VIEBRANZ

In view of the financial challenge to higher education today, the hallmark of a good development program is a cooperation and a dedication within all elements of the college or university toward a well-defined common goal.

If ever there were a case of required teamwork, it is to be found in the need for trustees and their man (or woman), the president, to see eye to eye, share mutual trust and confidence, and pull together in harness to produce the required financial support. The fact that the president may and will be found in double, triple or innumerable harnesses at any given moment, with trustees as well as non-trustee volunteer leaders, only suggests the dexterity he or she must demonstrate.

If there is an established fact about successful college fund-raising efforts both in the literature of the professionals and the battle experience of the veterans, it is that *development policy and goals* must be established by the full board, and leadership for it ought to reside in the board. Any lesser sponsorship and stature relegate the activity to a lesser importance than the president and staff claim it has for the future strength of the college and excellence of the educational program.

To establish development policy means that the board, guided by its committee for development, is deeply involved in the planning, start-up and operation of any effort. This can apply almost equally to the annual fund campaign, deferred giving program, but certainly the major capital program. I view this involvement like a five-layer cake – and that's some piece of cake!

First, the board must be convinced by the president, supported by testimony and facts from staff and faculty, that new gift support is required to do the educational job expected. The trustees ask hard questions, test each claim of need, weigh all the alternative sources of funds (tuition, auxiliary enterprises, management of current assets, government aid) to be sure that the type and amount of funds projected meet a real "needs" test. They must require the proof which will certainly later be demanded, whether by the most sophisticated prospect for the largest gift or by the rank and file of prospects who are to be called upon to vote their confidence in the college with their dollars.

Second, the trustees as individuals and as a body must be reminded in an inspirational and persuasive manner by the president that the hard work and sacrificial giving that is proposed is for a high purpose in the service of humanity – to provide effective higher education for all who seek and can benefit from it. We are constantly aware that the leaders of our society and our world in a few years will be the students who are on our campuses in 1974-75. If trustees cannot evoke an intellectual– yes, even *emotional* – commitment to this ideal, then there is not much leadership. If the president cannot call forth such commitment, then there is a need to find a substitute who can "turn on the switch."

Third, it is fundamental that trustees provide actual dollar-leadership through their own personal participation. This must come early and impressively, particularly in the capital program. Depending somewhat on the individuals involved, a good trio to assure 100-per-cent trustee participation at the most generous level is the board chairman, the president and the trustee development chairman. Obviously there will be some allowance for personalities in deciding who speaks to whom, and this trio can make those hard decisions. There must also be careful and discreet staff analysis available for guidance. To bolster each other's confidence and inspiration, each of the three, prompted if necessary by the president, should vie to be first in making his best possible commitment. The question is asked: What percentage of a capital program goal must come from trustees in order to be successful? We cannot find a perfect answer as it depends upon a number of factors. However, a range of 15-40 per cent has been noted and 20-30 per cent is deemed to be good. In a $30,000,000 capital program, St Lawrence University has initial commitments of $3,000,000 (10 per cent) from trustees and hopes for $6,000,000 (20 per cent) before the seven-year program is completed.

Fourth, an atmosphere of hard work must be established at the trustee level. Through his own conviction and determination, the president can help to create the desire in each trustee to assist in doing the job. We surely admit and acknowledge that some trustees have no taste for fund raising and will of little or no assistance. Some evidence can be found that major capital programs have succeeded where only a few trustees really got down to the hard tasks. But it must be assumed at the outset that each will work and ask others to work and to give. Failure is almost certain when trustees, and subsequently other volunteer leaders, do not become unleashed and start creating results.

Of course, the work becomes more effective and enjoyable when undergirded by the concrete of strong alumni support. We at St Lawrence University are regularly sustained by more than 50 per cent alumni participation in the annual fund, which has doubled in dollar results to $350,000 in the past six years. It has been a record worthy of honor roll recognition by the Council for Financial Aid to Education reports for a number of years. In my fifteen years of activity, I have seldom if ever been turned down by an alumnus in a request to work or give. We believe that this loyalty correlates directly with balancing our budget for 29 consecutive years.

Fifth, the trustees should require a campaign *plan* before approving a capital program. This will include the goals, the plan of action, a time-table, chart of needed gifts, public relations support, adequate personnel, and special budget. This plan can be debated and argued in committee, using staff-prepared proposals and professional counsel, but at some point the president and trustees should agree and vote on the plan, giving it the highest level of endorsement for all to work with.

So much for development policy at the trustee and presidential level.

The next ingredient I approach, head on, is the matter of leadership. Unless there is a universe where the laws of nature are different, it seems that the quality and success of human institutions – be they business, financial, military, government, church or education – are intimately related to the

quality and dedication of their leaders. In the case of our colleges and universities, we are certainly talking about the president, the trustees and a few influential leaders among our alumni, parents and friends.

The trustees look to the president and his staff to be constantly suggesting effective new leaders, involving them, and proving their worth. The president and his staff hope that trustees and especially the board membership committee will constantly be identifying and bringing into the inner circle of committed partisans new and effective leaders. If the president and the board leadership will insist on the stewardship of time, effort and money at the board level, the college stands a better chance of demonstrating to all others the importance of development work.

It is for this reason that at St Lawrence we have maintained that major leadership roles in the various development activities should be assigned to trustees. The development committee chairman is, of course, a trustee. Under this umbrella committee are sub-functions for which we seek to have trustee chairmen. They are:

Alumni Fund
Parents Fund (usually not a trustee)
Friends Fund
President's Associates (our big gift club)
Major Gifts
Estate Planning
Communications (the broader concept of public relations)

We do in fact have a current trustee chairman for each of these functions except the Parents Fund. Each of these looks to the president for appreciation and support of the particular effort in which he or she is engaged. Each expects personal participation by the president in the major aspects of the activity — and they get it. The president supports the volunteer leaders in a way which tells them — by his commitment of time and attention — that their time and work are of crucial importance to the progress of the college. It also means thousands of personal, presidential thank-you letters each year to the workers and to donors of all but the most nominal gifts.

We believe these elements constitute effective leadership at the presidential and trustee levels, and effective partnership in working harness.

There are other expectations which trustees, and similarly non-trustee leaders and donors, place on the president.

They expect him to be the articulate spokesman through the spoken or written word of an inspiring case for the college's educational mission and supportive extra-curricular programs. If there is misunderstanding or fuzziness in any objective, the president must clarify and sharpen the focus.

Volunteer leaders expect the president to provide supportive staff services to assure a good job, a successful outcome and a satisfying experience which makes it all worthwhile. This means that for each activity with a purpose there is staff assigned to work intimately with the volunteer leader in order to make the most efficient use of the volunteer's available time and talent. If the staff support is inadequate, the president hears about it. He trys to build the confidence of the volunteer in his staff support.

Volunteer leaders expect a defined purpose and role at a level which is

challenging and interesting. They expect to be put to work for the cause, but the work should be tailored to their interest, competence and capacity. The role should not be nominal – a serious and conscientious person cannot sustain excitement at that pace. But the role should not be unrealistic in terms of the time and effort he has available. The president should also protect the volunteer when staff or trustee demands appear to become excessive.

In major gift solicitations, the trustee or other volunteer leader expects to be able to count on the president's partnership if needed. If the particular prospect cannot attract the president's attention, it may mean the busy volunteer cannot give him his attention either. He also expects careful attention to detail from the president and staff in accordance with his own manner of approaching an important project.

Trustees look to the president to show the way in asking other trustees, prospects and donors to give generously and to work on special projects. If the president leads by demonstration and example, it is hard for a trustee, or other committed individual, to resist following.

The trustee or other volunteer looks to the president for commendation, recognition and appreciation – not as a matter of egotism but as assurance that his effort is useful and helpful to the cause. Sometimes such recognition is entirely adequate when extremely quiet. At other times recognition and appreciation must be public and frequent or it is inadequate.

Despite the basic questions being raised about the interest and accountability of laymen serving our colleges as trustees and volunteer leaders, we reaffirm the necessity of having society's interests represented in the philosophies and policies established by boards of trustees, and of having the wealth of practical experience from every walk of life which trustees bring to the campus. Personal sacrifice and dedication of trustees who believe in diversity, freedom and excellence of education for our young people can best be demonstrated in the partnership between presidents and volunteer leaders when acquiring that most essential financial and moral support.

How to Organize and Evaluate a Development Program

KENNETH G. BEYER

Few subjects in the private sector of higher education are receiving as much attention these days as how to attract more philanthropic support from various publics to sustain and expand our programs and institutions. Inflation, declining enrolments and shrinking proportional return from endowments are calling loudly for new money to fill the gap.

In the face of this, many public institutions are now also seriously in the fund-raising business. Other private agencies in health, welfare, religion, art and music are stepping up their efforts. The Congress, in talking of tax reform, may consider the charitable deducation a "loophole" like the oil depletion allowance. And foundations are reporting that with reduced values of their portfolios they will be forced to cut back on distributions. This reminds me of the sick joke going around, "Other than that Mrs. Lincoln, how did you like the play?"

In spite of these problems, however, gifts to higher education, as shown in the 1972-1973 report, *Voluntary Support of Higher Education*, published by the Council for Financial Aid to Higher Education, increased by over $200 million from 1971-1972 to a total exceeding $2 billion. That's an increase of nearly eleven per cent, although some would say this has not kept up with the increasing rate of the gross national product.

All of this means that we must be more aggressive and efficient in the business of raising funds and, to borrow a famous phrase from the Pentagon, get "a bigger bang for a buck." We should be more precise about goals and objectives, staff qualities, the relationship between the development office and the president's office, and evaluation of results, if we are to avoid waste and less-than-productive results from our efforts.

Even though systematic and formal college and university development activities are relatively new (about twenty years) in the scheme of higher education and there is little definitive literature available, we can form some conclusions as to structure and method from many of the more successful operations within our ranks. These will vary by type and size of institution, geographic location, nature of constituencies and other factors, but some general principles and approaches should apply to all.

In the topic "How to Organize and Evaluate a Development Program" assigned to me, I will try to cut through these differences and outline what seem to me to be some basic common features of successful programs. I will not attempt to suggest how many people to assign to the various elements of a development program or how much you should spend on the total effort. These depend too much on the size of the institution, the money available and other factors.

The first ingredient should be a clear definition of the mission of the institution translated into a "case statement" and backed up by specific goals and objectives toward which the development office directs the attack. This is

perhaps the most elusive of all the elements of a successful public relations and fund-raising program. We have been pretty well used to flying by the seat of our pants with as many news releases as we can crank out, publications thrown together when someone gets a good idea for one and a development staff riding off in all directions at once to help balance the budget. Many of us operate from myths and dry-hole drilling such as spending inordinate amounts of money on alumni programs and neglecting the greater source of funds from non-alumni individuals; excessive emphasis on corporate giving when this area is not likely to produce more than fifteen per cent of our goal; not being able to distinguish hard money for current operations from soft money for new programs when approaching foundations, and expecting results from deferred giving and bequest programs too soon.

"Management by objectives" has been used successfully by industry for the past decade as a tool to plan carefully what needs to be done; zeroing in resources and techniques to do those things which need to be done, and measuring results. This insidious concept is quietly slipping into the groves of academe in the dark of night despite all our efforts to resist anything from being managed efficiently.

All phases of a college's operation should lend themselves to a clear statement of purpose, but few lend themselves to such quantitative result measurement as does a development program. G. T. Smith of the College of Wooster, in speaking to a meeting of the American Alumni Council last year on "The Long-Range Planning Process" included the following:

> In order to plan effectively, one must 1) define clearly the mission, goals, purposes and objectives of an institution's several components; 2) establish a systematic process of planning, implementing, and evaluation of activities; 3) develop a continuing procedure for gathering information on resource allocations.
>
> Efforts have been made in the past year to develop a conception that integrates each of the components into an effective Institutional Advancement Program (IAP). Basically, the system is composed of several program elements whose objectives (Outputs) are achieved through various activities that utilize available resources (Inputs).
>
> To begin with, one must first arrive at a brief but clear statement—in writing—of the institution's Mission. Once this mission is agreed to and accepted, program Goals can be set by the major divisions of the institution. These goals, again, should be in writing and thoroughly understood (and hopefully agreed to!) by those in the related divisions. Finally, within each division, program elements can be defined, each with its own activities to which the planning and action cycles may be applied.

He went on to give the following as an example of program assumptions which must be part of the planning effort:

1. Those most responsible for the college—the trustees and alumni—will continue as the major source of gift funds (40-55%) needed by the college.
2. Though general support from parents will not show a large increase, several major gifts will be received from a few parents.
3. Substantial gifts from non-alumni friends will be sustained.

4. Support from industry and business, though important, will increase only slightly.
5. Foundations will continue to be an increasingly important source of funds, particularly for underwriting special programs.
6. Support from religious groups will remain at about the present level, representing a decreasing proportion of our needed gift funds.
7. There will be a significant increase in the provision of funds through bequests.

Historical data on sources of funds for higher education should give us general guidelines on staff emphasis and allocation of resources for the development office. The last (1972-1973) report from the Council for Financial Aid to Higher Education shows sources of philanthropic dollars to higher education as follows:

	1970-1971	1971-1972	1972-1973
Foundations	22.5%	25.9%	23.4%
Non-alumni Individuals	26.6	24.4	26.8
Alumni	24.6	23.8	23.9
Business Corporations	13.9	13.6	14.3
Religious Denominations	5.6	5.0	4.4
Other	6.8	7.3	7.2

And a breakdown of donors to all causes, including higher education, in the 1973 issue of *Giving USA* shows:

Individuals	74.6%	People gifts total 86.6%
Bequests	12.0	
Foundations	9.7	
Corporations	3.7	

Also from the same source, a challenge appears for us in higher education to capture a larger share of the philanthropic market. The total giving to all causes in 1972 was $22.68 billion and education ranked third behind religion and health and hospitals for 15.7 per cent of the distribution. The breakdown follows:

Religion	43.0%
Health and Hospitals	16.2
Education	15.7
Social Welfare	7.1
Public and Cultural	6.8
Other	11.2

The evidence is increasingly clear that individuals, both alumni and non-alumni, constitute the largest potential source of funds, but it is likely that many development offices spend more time and money on foundations and business corporations.

Staffing the development office with the right kind and quantity of talent can obviously make the difference between a going concern and one that limps along with apology. The key, of course, is the person selected to head the staff. I have not come across any exact set of foolproof specifications to guarantee success as a development officer. One of the most able develop-

ment officers I know was a history major who heads a program at a college of engineering and science. Another is a former newspaper man and yet another was an English scholar at one of the country's major technological institutes (who since has returned to the faculty). The July 1974 *Bulletin* issued by the Gonser, Gerber, Tinker, and Stuhr seems to cover all the bases in listing the qualities we should look for in a development officer. I recommend it as an excellent guide for the selection of people to fill these important positions.

An essential for a successful total institutional development effort is a close working relationship between the president and the chief development officer. Attractive as it might be to hire a chief fund-raiser, slip a note under his door on July 1 telling him how much money you need by next June 30, and go away with the satisfaction that you have truly "delegated" this responsibility, it is not likely to work. Whether we like it or not we must consider ourselves as an integral part of the whole development and public relations process.

In addition to a good working relationship, the development officer must be as informed about the institution as the president and be able to operate freely within and outside, particularly among trustees, close friends and alumni. Commenting on the relationship between the development officer and the president in the Fall 1974 issue of *Counsel*, President Asa N. Green of Livingston University stated:

> One principle is clear: the development officer should have constant and instant access to the president. The policy I pursue is to have him keep me informed about his plans and update me as new developments occur. With this clear understanding, he doesn't need to see me constantly unless there is a change in our plan or something arises that I should know about. Then, I listen anytime, anywhere.
>
> This means my development officer has a certain autonomy to contact trustees — something unheard of a decade ago — to arrange assignments, make appointments for gift prospects, or make other such arrangements within the framework of our plan. Most trustees and major donors are quite sophisticated about such things these days and there is no need for him to take my time with them when he can do it.
>
> On the other side, he can expect me to take responsibility for certain specific fund-raising functions that I can perform better than anyone at the university. Two of these, for example, would be the solicitation of trustees and some few major donors, and participation at key meetings. Certainly, I would also expect to acknowledge all large gifts personally.

A key institutional role for the development officer when there is mutual trust and a high sense of teamwork between him and the president is the position of secretary to the board of trustees. Since trustees obviously play such an important part in the life of the college, it is all the more reason to tie the administration and the board together for this and other purposes. Also, this provides the board chairman with a part-time staff officer, thus encouraging his effectiveness and involvement. In addition, I believe that in many cases trustees feel more at ease in dealing with the development officer than with the president. We may overlook the fact that even though a trustee may enjoy prominence in his own profession he sometimes can be in awe of

the president of an academic institution with intimidating scholarly credentials. This may manifest itself in reluctance to suggest new ideas, ask what to him may be foolish questions and generally expose himself as "academically" ignorant.

If you will pardon the personal reference, it was my good fortune to serve under two very able and understanding presidents in recent years in my other life as a development officer. Being secretary to the board of trustees, I enjoyed a unique relationship with the trustees and particularly the chairman. We became good friends and he felt free to let his hair down about many things in his concern for the college. One day he called and said, "I've been thinking about the college and would like to do something by way of a gift but I'm not clear about the best things to do or how to go about them. The next time you're in the area I'd like your help in working up some ideas." I told him that I would happen to be in his area the next morning at 8:30! When I arrived he restated his problem and, when I told him it would help me to know what he was thinking about in the size of gift, he replied,"Oh, let's start at about $5 million." I tried to appear as calm as if this happened every morning at 8:30 and started working with him on the project, which lasted through the summer and fall.

The gift was made, his multiple objectives were met and after it was over his wife told me that he enjoyed the experience so much that he went out and bought a Rolls Royce. The point of all this was that the trustee felt completely at ease in trying a variety of ideas out on me as a staff person in whom he had some confidence. I then did his leg work in drafting alternatives and possible consequences. Of course I kept my boss, the president, plugged in and brought him in at key times during the process. And the final version of the gift plan was a version satisfactory to the donor and the president.

I have known other development officers who serve their colleges in the same capacity, and they have had similar experiences. The key, it seems, is that presidents should stop worrying so much about the prerogatives of high office, the trustees as sacred ground, "confidentiality" and other impediments to progress. Men and women of reasonable intellect, trust in each other, and commitment to a common purpose, without worry about who gets the credit, will go far to move our institutions forward.

Once it has been determined how much of an institution's resources can be assigned to development and the various areas within the office, a monitoring system should be developed to measure results against expenditures. Pioneering work in this area has been done by John W. Leslie, former president of the recently merged organization, the American College Public Relations Association. His article "A Resource Allocation Information System for Managing an Institutional Advancement Program," written for the *College and University Journal*, is widely regarded as a valuable contribution to a more systematic means of measuring resources by area allocation.

Davidson College, under the direction of C. David Cornell, formerly vice president for finance and development, has put into operation a computerized system from the Leslie concept. From a regular accounting on computer cards of dollars and time spent by activity, print-outs are provided as a management tool showing use of professional staff time and support

expenditures in categories of information service, government relations, constituency relations, fund solicitation (including annual gifts, special projects and deferred gifts) professional development and other activities.

The results of a development program can only be measured and evaluated against the goals for the program. They cannot always be compared with results of other institutions, since objectives will vary from one institution to another, and constituency, cultivation lead-time, past efforts, volunteer strength, commitment and the nature of the case will be different for each college. Also, very little quantitative data are available on the subject of hard results expected from dollar expenditures in development. Perhaps the variables are too numerous or we duck the issue by charging all lack of success to "long-range benefits." Whatever the case, I know of no exact formula to apply. However, I will try to list some ranges of expectations in the most common areas of fund raising.

Annual Giving. This is considered to be the most expensive of all types of fund raising. The prime reason is that the money usually comes in in relatively small amounts and as a response to "balancing the budget," "current operations" or the "important on-going work of the institution" or heat, light and water. Also, a major portion usually comes from alumni, and we all know that "most of our alumni are not affluent and are devoting their lives to public service such as teaching, the ministry and social work." Some estimate the cost of these gifts at 30-50 per cent of receipts or even higher. If you are raising such funds for less than 20 per cent it would seem that you are doing *very* well.

Capital Projects. Major gifts in this category include funds for endowment, physical plant additions and special projects. Immediate results are hard to come by unless you are in a capital campaign operation with much advance work having been done. Lead time by way of cultivation for major gifts can involve months and years. One quick survey of six colleges showed an average of eighteen months from initial contact to specific results. This seems to be true with foundations as it is with individuals, even though we seldom think that foundations need to be "cultivated." Cost of raising capital money is considerably less than annual support funds because obviously it comes in larger amounts. An estimate of 10 per cent would not seem far off.

Deferred Giving. This relatively new area, more appropriately called "planned giving," involves gift annuities, unitrusts, pooled income trusts and similar contractural arrangements where a donor relinquishes specific assets in exchange for lifetime income considerations and significant tax advantages. Upon the donor's death (the "contract matures") the assets become part of the college's holdings. Direct bequest programs can also be an important part of this development effort.

Again substantial lead time should be allowed for this activity. It would not seem wise to expect much by way of results in less than two to three years and then only in the form of written agreements with no direct benefits to the institution for many years beyond that. And, as if unseen forces were plotting against us, it has been actuarially established that annuitants live longer than non-annuitants!

This is definitely a program dealing in futures, but if a good plan is estab-

lished with adequate funding and steady patience it can be a major source of funds in the years ahead. Pomona College in California, one of the first colleges in the country to make this an important part of its development program, in the late 1940s, has over $30 million in its endowment fund restricted for this purpose. Now each year it benefits by funds released for college use from contracts written 1-20 years ago. Annual costs for this type of money after the initial investment of two to three years would be approximately 4-8 per cent.

In conclusion I would say again that we must be smarter in this business than we have been in the past. We should spend more time in thinking through what we are about and be more hard-boiled about results. If you are not sure about how to establish and operate a successful development office, or wonder if you could do better, I would suggest a good investment of money to lie either in visiting some of the better operations in the country or hiring outside counsel to review the program. The stakes are high, the competition is keen, but we have only begun to tap our real potential.

Developing Private Support: Three Issues

G. T. SMITH

The Development Process

I start from three principles:

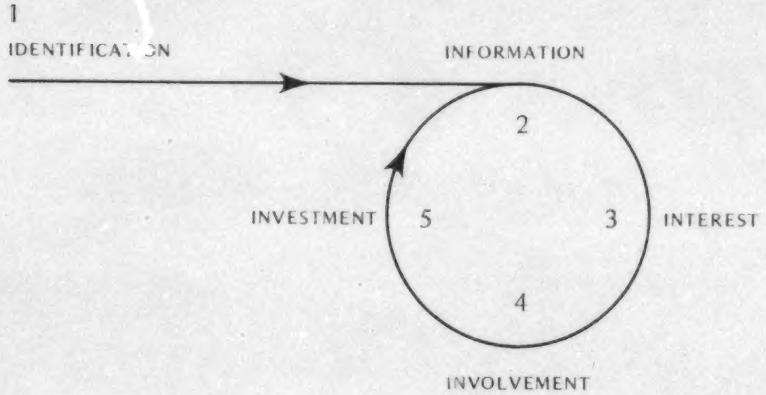
1. Development is really a very simple business. We have only two objectives:
   a. to help create an *understanding* of the special mission, value and accomplishments of a particular college or university and
   b. to secure the necessary *support* in the form of goodwill and dollars to sustain and advance the institution.
2. Development is far more than a material concern for money. In fact, fund raising itself is more psychological—even spiritual—than it is financial, for it is the human spirit and its aspirations that are our primary concern.
3. Most gift support should and usually will come from those closest to us, normally trustees and alumni. As Francis C. Pray observed some years ago, "Around every university and college in this country there is a group of men and women, ranging in size from a half dozen to a few hundred, who literally hold in their hands the make or break power for the institution itself." This "power" is in large measure economic, as reflected in the gifts of those who have reason to care most deeply about our colleges.

Within the context of these three principles, it is increasingly clear that the key to successful development is not program administration, organization of volunteers or coordination of publications. These are indeed important aspects of a total advancement program. But the two fundamental concepts in today's successful development programs are: (1) management and (2) cultivation.

The president's *management* role in development, has been clearly spelled out by Norman Francis and is inherent in much of what has been said in succeeding papers. Let me simply add that from the development officers' point of view, we look to you as managers in two main areas:

1. *Setting of priorities.* As the institution's chief planner, you need to provide us with at least the broad range of priorities toward which public awareness and financial resources are to be focused. This includes articulation of the *mission* of the institution, but it also requires your hand in helping determine the relative emphasis to be given to specific development *goals*, e.g., improving ties with the local community; strengthening legislative relations; furthering, in appropriate cases, the relationship with the Church; determining whether funds shall be sought for current operations, endowment and buildings. Once these priorities have been set, we expect you to require that detailed *objectives* be established for each element in the development program and presented to you for review.

The following is a schematic representation of what I am suggesting:



2. *Leadership of the Development Team.* It is almost universally accepted that a development program and staff is an essential element in college and university administrative structure: it is not so widely acknowledged that the leader of that team is the president of the institution. There are, of course, different patterns of organization and varying degrees of delegation. But providing the initiative and inspiration for the development effort is an inescapable responsibility of the president, and we look to you to articulate clearly and convincingly the case for the institution, secure the sponsorship of the board of trustees, recruit the chief development officer, and serve actively and enthusiastically in the daily chores, whether they be a strategy planning session or signing letters before the day's last mail.

The second fundamental for a successful development program is the *cultivation* of major and special gifts. This is clearly evident when one recalls that relatively few donors provide the bulk of total gift dollars. Traditionally it has been thought that about 80 per cent of the money in any fund-raising program is contributed by 20 per cent of the donors. However, an analysis released last year by the American Council on Education of all private gifts to higher education indicates that 75 per cent of the total was contributed by fewer than 5 per cent of the donors in gifts of $5,000 or more. Our own experience at Wooster, where annually 70-80 per cent of total gift income is contributed by fewer than 3 per cent of the donors, is representative of an emerging pattern at other colleges and universities.

The longstanding 80:20 ratio is clearly an understatement which may well account, at least in part, for our failure in the past to give proper attention to the cultivation of major gift support in development programming. In view of its singular importance, we should probably add a fourth principle to the three suggested earlier:

> Since 90 per cent or more of total gift results are normally received in the form of special and major gifts, a proportionate share of resources (staff, time and budget) should be allocated accordingly.

My hunch is that not a single institution represented in these seminars is applying this principle effectively. But I will wager that any institution that does so will, within two years, far exceed its present level of gift support.

To cause such a turn-around will, in most instances, require the force of presidential edict and example, followed by careful redirection of the development program. At the risk of appearing elementary, I should like to suggest a conceptual basis as well as a rather simple procedure to follow in implementing a program of special and major gift cultivation. (For purposes of this discussion, special gifts are defined as from $1,000 - $10,000, and major gifts as above $10,000.)

The cultivation of potentially large donors is a systematic and continuing effort to develop the power structure, either actual or potential, of an institution. It involves five steps, all of which begin with the letter "I":

1. Identification
2. Information
3. Interest
4. Involvement
5. Investment

In nearly every instance, the last four steps comprise a continuing cycle of finding additional information about the potential donor, furthering his or her interest, encouraging a meaningful involvement and, ultimately, receiving an added financial investment. Generally recognized now as the Cultivation Cycle, this procedure may be visualized as follows:

The President is responsible for

1) *setting* the institution's *mission*
2) *guiding* divisional *goals*
3) *helping determine* program *objectives*

You know best how such an effort might be initiated within your own operation. I would suggest, however, that the following steps not be overlooked:

1. Determine that this role and function is of primary importance and secure the concurrence of the development committee of the board of trustees and a clear understanding by members of the development staff.
2. Assume, as president, full responsibility for this function unless you are so fortunate as to have a chief development officer to whom it can be delegated.
3. Establish a simple and clear-cut procedure for implementing the cultivation process. To begin with, one should
   a. Make an initial list of all known potential major gift donors and gather as much information as possible on each.
   b. Assign estimates of gift potential, using four categories:

      (1) $1 million and up
      (2) $100,000 – 1,000,000
      (3) $ 10,000 – 100,000
      (4) $ 1,000 – 10,000

   c. Within each category, rank potential donors in order of importance—1-10, 11-30, 31-60, 61-100.
   d. Beginning with the top 10 in the highest category, estimate the cultivation requirements for each. For example, the top 10 should probably have an average of 10-12 cultivation contacts or "moves" per year, the next 20 should have 8-10, the next 30 should have 6-8, and the next 40 should have 4-6. This total of 600-800 "moves" with the top 100 potential donors is about all that one person can handle if 80-90 per cent of his or her time is spent in major gift cultivation.
4. Plan specific cultivation moves for each potential donor as far in advance as possible, making use of the five-step Cultivation Cycle.

One final word relating to the cultivation process and to what you should expect of yourself as president: This has to do with your role in the fifth step of the cycle, the investment phase. It is not an uncommon fault in many of us to want to avoid, if at all possible, asking for the gift after going through all the preliminary steps. We must not lose sight of the fact that securing the gift is the natural as well as hoped for end result of the cultivation process.

Asking for a major gift is not begging; rather it is an essential element in the highest form of selling. Just as philanthropy is the act of expressing one's love for others, so making a major gift is much more than contributing money to meet an institution's need; it represents instead a donor's opportunity for serious investment. It should indeed be regarded as a privilege to present persuasively to a person of means the opportunity to do what he or she would most like to do. That, to my mind, is a high calling, and one usually reserved for you as president.

Regardless of the present status of one's development staff, we each should be actively "recruiting" our development staff for the future. Unfortunately, most of us wait for a resignation, retirement or crisis to force the search upon us involuntarily.

We should regard staff development as a continuing process, recognizing that in the advancement field, probably more than in any other area of college administration, continuity of leadership and direction is of crucial importance. Ideally, we should have within each administration a back-up person capable of assuming the role of chief development officer—a person who, though still acquiring the basic techniques of college advancement, at least reflects those qualities necessary for leading a successful development program.

Professional staff development, whether in seeking to fill a vacant position or merely stretching the potential of present staff, begins first with a systematic and continuous planning process within the institution. Once we have a clear statement of the institution's mission and a priority listing of developmental objectives, we are then in position to draw up a job description, indicating the basic functions, organizational relationships, responsibilities and authority of each position.

One should also spell out the personal qualities desired in a development officer. These obviously include management ability, a creative and imaginative spirit, articulation and persuasiveness in both speech and writing, sensitivity, being a good listener, a self-starter and broad-gauged. I would look, too, for a reasoned commitment to the specific educational mission of the college, a genuine concern for people individually and for the principal constituencies in which the college is interested, a good sense of priorities and a well-developed capacity for loyalty.

In starting the search for qualified candidates, one obviously should place an ad in the college's own publications and usually in *The Chronicle of Higher Education.* Look carefully also within your own college family, not so much for a person with specific professional and technical skills, but rather for the personal qualities desired. Many schools have had excellent results by simply maintaining a list of outstanding persons among their trustees, alumni, key volunteers—even within the immediate community—seeking out those who seemed to have the requisite qualities and qualifications suggested above.

One item of obvious concern is salary. For years, we had little solid evidence to indicate what was a fair salary to pay development officers—fair both to the institution's salary scale and to the individual. As a result of recent surveys by John Leslie of the American College Public Relations Association (ACPRA) and by other educational associations, there are now some guidelines that may be helpful. The evidence suggests that:

1. The range of salaries paid development officers is related to the size of the advancement staff and to the record of total gift income, usually measured over a three-year period. Since size of staff seems ultimately to be determined by gift-income requirements, the level of results (dollars raised) should be the primary index for determining salaries.

2. Salaries for chief development officers at some major universities are reported to be as high as $60,000. The following table indicates the ranges for various levels of total gift income.

Annual Total Gift Income	1973-74 Salary Range for Chief Development Officers
Under $500,000	$17,000 - $25,000
$500,000 - $999,000	$20,000 - $28,500
$1,000,000 - $1,999,999	$23,500 - $35,000
$2,000,000 - $5,000,000	$25,000 - $37,500

3. Experience seems to be more important than age in determining salary range. Thus younger persons with greater experience and success are usually paid more than older persons with less experience.
4. Fund-raising directors receive about 78-85 per cent of the amount paid to chief development officers (managers); public relations, publications, and alumni directors, usually less experienced, are paid an average 55-70 per cent of the manager's salary.
5. Women directors appear to be paid approximately 75-80 per cent for equivalent positions held by men at other institutions (a report of the facts, of course, not an expression of approval).

A corollary to staff recruitment is evaluation of performance. Surely one of the most perplexing questions before most college presidents is how to evaluate meaningfully the results and accomplishments of the development effort. While the performance of personnel and programs are closely intertwined, and ultimately it is the people who must be retained or replaced, it is helpful to evaluate each separately, then draw one's conclusions after looking at all the available evidence.

In the effort to evaluate development programs and their results, we are again helped by the studies of John Leslie and others working on a Resource Allocation System, now funded by the U. S. Steel Foundation. Comparison of data at one institution with another's must take cognizance of the variables in each situation. Still, a pattern for drawing certain tentative conclusions seems to be emerging:

1. Within certain limits, there is a close correlation between the dollars spent for Institutional Advancement Programs (IAP). For example, in a study of total gift income and IAP expenditures (development, public and alumni relations and publications) among 126 colleges for the years 1967-70, the following quartiles of institutions based on gift income emerged:

Quartile	Gift-Income Range	Median IAP Expenditures	No. of Institutions
1st	$1,000,000 to $3,000,000	$300,000	32
2nd	$ 750,000 to $1,000,000	$150,000	31
3rd	$ 350,000 to $ 750,000	$110,000	32
4th	$ 200,000 to $ 350,000	$ 90,000	31

Looking at the same institutions by range of IAP expenditures, we see the following results in median gift income:

Quartile	IAP Range	Median Gift Income	No. of Institutions
1st	$200,000 to $400,000	$1,100,000	30
2nd	$140,000 to $200,000	$ 800,000	32
3rd	$100,000 to $140,000	$ 600,000	31
4th	$ 50,000 to $100,000	$ 300,000	33

(From 1967 through August 1974, the cost of living index rose by 50.2 per cent. While higher education costs, including IAP, have increased dramatically, total giving to higher education also increased by about 50 per cent since 1967. Thus the above correlations should still be valid.)

2. The cost of raising gift dollars at private colleges throughout the 1960s increased rather dramatically to an average of 22¢ per dollar raised, as indicated in the following figures:

Gift-Income Range	1962-66	1965-68	1967-70
Average for private colleges	20¢	17¢	22¢
Over $1,000,000		12.5¢	17¢
$500,000 to $900,000		14.5¢	22¢
Under $500,000		28¢	35¢

3. Although there was a marked increase in the cost of raising gift dollars, the median IAP expenditures as a percentage of educational and general (E & G) expenses seem fairly constant at about 5 per cent:

Gift-Income Range	1962-66	1965-68	1967-70
Average for private colleges	5.8%	4.9%	4.7%
Over $1,000,000		5.0	5.7
$500,000 to $900,000		4.7	4.7
Under $500,000		5.2	5.2

Turning to the evaluation of personnel, we are again faced with the question: Against what standards should performance be judged? All too often, the only standard is usually a "hunch" on the manager's part as to what should have been accomplished. It is apparent that every position should have a definitive set of requirements (standards), followed by careful and continuing assessment. Such an evaluation process might include the following steps:

1. List all positions to be evaluated.
2. Establish the standards by which they are to be evaluated.
3. Determine the relative importance of each standard for each position.
4. Rate each employee by those standards.
5. Make appropriate staffing and salary decisions based on steps 1-4.

Applying these five steps to the advancement staff, one might develop a scheme somewhat along the lines illustrated in Appendix A.

The training and upgrading of staff starts with a mutual understanding among all concerned that at least a portion of each person's time should be devoted to professional development. Too often, attendance at regional and national association meetings consumes all of the time and budget available for staff training. Certain additional provisions should be considered:

1. Each staff person should be encouraged to spend at least 5 per cent of his or her time in acquiring further professional knowledge and competence. For the chief development officer, this should be increased to as much as 10 per cent.
2. Senior staff—and others after one year on the job—should be sent to one of the special programs for new development officers. For a broader experience in total college management one should consider the Institute for Educational Management at Harvard University.
3. An in-service training program should be initiated whereby at monthly sessions each staff person is assigned a topic to be researched and presented to others on the advancement staff.
4. The advancement staff should subscribe to and use the CASE microfiche library.
5. Having determined the priorities of the institution's development objectives, identify several other colleges that have achieved exceptional success in those same areas. Consider inviting the responsible development officer from one of those institutions to meet and talk with your own development staff.

The Use of Professional Counsel

The decision to engage professional counsel is all too often approached with the view that to do so is an admission of weakness. On the contrary, it can and should be an affirmation that the institution has the potential for even greater achievement and is determined to reach its goals as fully and as soon as possible. Within this context, a college should plan on and budget for periodic and regular counsel, the exact nature of which will be determined by the particular stance and need of the institution at any given point in time.

The first question that quite naturally arises is "What should we expect of counsel?" I should like to suggest that their primary responsibility is to see to it that basic and supportive questions are asked and answered. They must be certain that this process serves the college constructively and substantively. As outsiders, professional counsel have no vested interest to protect except a deep concern and commitment to higher education and to those institutions they are engaged to serve. They have no conflict of interest problems to overcome, no personalities to accommodate, no prejudices to protect, no pet projects to promote. They have no sentimental attachment to prevent a totally objective analysis. Their presence and function should help provide the assurance and confidence that the process of evaluation will be soundly based to ensure the best possible judgments for future decision making.

The time for most colleges to seek professional counsel, in the form of a

management review, is now. Certainly, if an institution is at the point of staff or program reorganization or is considering a major fund-raising effort, an expert outside evaluation is almost mandatory. In addition, there may be other specific times when such help is needed, e.g., when an admissions office is functioning just as it did five years ago; when the staff is clearly not equipped to perform certain functions; when the trustees or other key leaders need the assurance of an objective view; when the institution's position relative to the economy, society or higher education needs to be determined; when one's own efforts have been ineffective.

Having determined *why* counsel is needed, the first step in the selection process has already been accomplished. One should next identify several firms and individuals who are recognized as professionals in the institution's area of need. Check with their previous clients to get a feeling for their style, method of operation, strengths and weaknesses. Don't expect perfection, but look for consistency.

Present a profile of the institution to those who seem best prepared to serve your needs, requesting that they indicate in writing the kinds of questions and problems with which they are prepared to deal. They should then be interviewed (at no cost to the institution) by you, the chief development officer and at least one strong trustee who is regarded as tough and discerning. After evaluating the interview, sorting out the slick salesmen from those with solid records and creative ideas, one is then in position to request formal proposals from each with detailed outlines of what they propose to do, the time required, and total costs. In evaluating the proposals, don't reach too early for the "lowest bid." It may be—and often is—false economy.

I should like finally to add a word on the "care and feeding" of consultants. Recognize from the outset that you are not hiring counsel for a prescribed number of hours or days; instead, you are buying expert, professional advice. One should thus avoid trying to get sixteen hours of service out of every 24-hour period. If a consultant is to offer fresh and enlightened counsel, he needs time for reflection. As for meals, especially breakfast and dinner, at least offer the option of being alone. And never provide lodging in a noisy dormitory in order to save the cost of a hotel room.

More often than not, it is *we* who limit the effectiveness of professional counsel. It is important to prepare thoroughly for each visit by drawing up a tentative agenda of the items to be covered, arranging advance appointments for those to be seen, and clearing one's own calendar and office of interruptions. After each visit, you should expect a written summary of the items discussed and actions agteed to, recognizing that the consultant is not expected to *do* the work, but to advise and counsel on *how* and *what* to do.

Conclusions

In these few minutes, I have tried to reaffirm that "development" is more than the immediate gratification of urgent dollar needs. It is, instead, the securing of understanding and support through the careful and planned efforts of a team comprised of yourselves, the development staff and professional counsel. But it is not we who make success in development possible.

Credit belongs rather to those to whom we direct our effort, who in fact *give* the understanding and support. It is significant that we view them not as objects of financial support but rather as human beings whom we can help to find new meaning in their lives by caring for a cause beyond their own self-interest.

Appendix A

The Positions to be Evaluated

1. Director of Development
   a. Director of Annual Giving
   b. Director of Deferred Giving
   c. Field Director-South
2. Director of Alumni Affairs
   a. Assistant Director
3. Director of Public Relations
   a. Director of News Services

The standards or bases on which these positions might be evaluated include:

1. *Academic Background and Orientation*
   (Is he or she in fact sensitive to the educational process? Does he or she bring to the job a creative spirit growing out of personal educational experience? etc.)
2. *Professional Experience*
   (Has the employee had ten years' experience or the same experience for ten years?)
3. *Continuing Professional Development*
   (How much does he or she read on his or her own time, within the profession? Is use actually made of the ideas and suggestions picked up at national and regional conferences?)
4. *Furthering Institutional Goals and Objectives*
   (Does the employee being evaluated reflect and support the larger goals of the institution? Do his or her public appearances and involvements strengthen the ultimate mission and goals of the college?)
5. *Productivity and On-the-Job Performance*
   (What has actually been produced? Should it have been more? Is what was produced of high quality? If quantity were reduced, would the quality go up?)
6. *Perspective*
   (Does he or she have only day-to-day vision? Or is there vision to see what needs to be done over a longer period—3 months, 6 months, 2 years—and still put one foot in front of the other on a daily basis?)

7. *Motivation*
   (Is the employee a self-starter? Or does he or she have to be cranked up to get moving each day or on to the next task?)
8. *Priorities*
   (Does he or she do the right things, or simply do right the things that are undertaken?)

One must determine the relative importance of each of these factors or standards as it relates to specific positions. A simple scale will do: "I" can be for *highly* important, "II" for *average* importance, and "III" for *less* important. The same scale can then be used to evaluate each staff officer:

"I" = ranks *high* on this item
"II" = ranks *average* on this item
"III" = ranks *low* on this item

We are now ready to evaluate the staff positions listed above. It is usually helpful to prepare a chart so that all positions and officers can be seen in relation to one another.

INSTITUTIONAL ADVANCEMENT PROGRAM

Position and Staff Evaluation
(Sample Chart)

Bases for Evaluation	DEVELOPMENT DEPARTMENT								ALUMNI AFFAIRS				PUBLIC RELATIONS			
	Dir. of Dev.		Dir. of A. G.		Dir. of D. G.		Field Dir. S.		Director		Asst. Dir.		Director		Dir. News Serv.	
	Position	Officer	Position	Officer	Position	Officer	Position	Officer	Position	Officer	Position	Officer	Position	Officer	Position	Officer
1. Academic	II	II	II	II	II	II	III	II	II	I	III	II	II	II	II	II
2. Experience	I	I	II	II	II	II	III	II	II	II	III	III	I	II	I	I
3. Professional Development	I	I	I	III	II	II	II	II	II	II	II	I	I	II	II	II
4. Institutional Goals	I	I	I	I	I	III	I	I	I	II	I	I	I	I	I	I
5. Productivity	I	I	I	II	I	I	I	I	I	II	I	I	I	I	I	I
6. Perspective	I	I	II	II	II	II	II	I	II	III	II	I	II	II	II	I
7. Motivation	I	I	I	II	I	I	I	I	I	I	II	I	I	I	I	I
8. Priorities	I	I	I	II	I	II	II	II	I	II	II	I	I	II	II	I

Looking at the above chart, the need for certain specific decisions becomes apparent:

1. The Director of Development is qualified for his position and is functioning at a high level of performance. He should be considered for a commensurate salary increase.
2. The Director of Annual Giving is only average in both the qualifications, and the III under Professional Development and II under Motivation suggest that he is not growing in the job. These have a bearing on his productivity, which is sub-standard. Corrective measures, including possible reappointment to another position, are in order.
3. The Director of Deferred Giving, while she is not particularly supportive of the institution's goals and objectives, seems to be a good producer. Management should try to help her improve in that area and in her sense of priorities. Meantime, she should be considered for a modest salary increase.

With this example, the reader can carry on the evaluation of the other positions and officers in the model.

President's Reading List

In preparing for the seminar series, a long and detailed book list was drawn up and given to each president who attended. They were asked for their comments, suggestions and recommendations to prepare this final list. We are most grateful to those who took time to talk or write to the authors of the list that follows.

Rather than merely presenting a long list which may be out of date, it was felt that the most useful aid to neophyte or experienced presidents would be a source list of where to obtain on a current basis the most up-to-date and useful information.

A modern president needs facts and statistics, insights into the full scope of the environment in which his or her institution exists, experienced advice and mind-stretching ideas.

Use this list to put yourself in touch with some of today's best channels of ideas and information in the field. Use this list to acquire books in the area of fund raising which have weathered trial by long use to assume the characteristics of bibles. Use the topical headings as a suggestion of the many areas of concern which today materially affect and effectively limit the possibilities of resources human and financial. Several recent and typical titles are included under each heading. No attempt has been made to rank or rate them. Also, among the centers of information which follow are sources of continuing searches and reviews of literature in these areas.

Some Sources of Relevant Information

I. FEDERAL GOVERNMENT

A. COMPUTERIZED DATA AND STATISTICS

1. Department of Commerce
   a. Bureau of the Census, Demographic Field Office, Chief, Users Service Staff, Suitland, Maryland 20023
   b. Bureau of Economic Analysis, Assistant Chief, 2712 Wisconsin Avenue, N.W., Washington, D. C. 20007
2. Department of Health, Education and Welfare
   a. Office of Education (Hegis Files available through Computer Center of the American Council on Education. Director, Division of Educational Statistics (ACE), 6602 Rivercrest Court, N.W., Washington, D.C. 20016)
   b. National Center for Educational Statistics, Reference, Estimates and Projection Branch, 400 Maryland Avenue, S.W., Washington, D. C. 20202
   c. National Institute of Education, 1200 19th St., N.W., Washington, D. C. 20036

B. PUBLICATIONS

1. Publications issuing from all of the above federal departments – most particularly the publishing program of the Office of Education

2. CONGRESSIONAL RECORD, 2221 Shorefield Road, Apt. 424, Wheaton, Maryland 20902
3. FEDERAL REGISTER, 633 Indiana Avenue, N.W., Washington, D. C. 20004
4. Government Printing Office, catalog of publications program, Superintendent of Documents, 701 Notley Road, Silver Spring, Maryland 20904
5. Security and Exchange Commission Publications, 500 N. Capitol Street, N.W., Washington, D. C. 20549
6. Department of the Treasury, TREASURY PAPERS, 15th Street and Pennsylvania Avenue, N.W., Washington, D. C. 20220

II. EDUCATIONAL RESEARCH CENTERS

1. Carnegie Council on Policy Studies in Higher Education*, Carnegie Corporation of New York, 437 Madison Avenue, New York, N. Y. 10022, publishing program, "The Carnegie Council Series," beginning 1975
2. Center for Research and Development in Higher Education, The University of California at Berkeley, Berkeley, California 94720
3. Center for the Study of Education, University of Michigan, Ann Arbor, Michigan 48104
4. The Education Commission of the States (ECS), 360 Lincoln Tower, 1860 Lincoln, Denver, Colorado 80203
5. Educational Resources Information Center (ERIC), ERIC Document Reproduction Service, Computer Microfilm International Corp., 2020 14th Street, N., Arlington, Virginia 22201. Major publishing program. Also National Data Bank, computerized searches of which are conducted by ERIC Clearinghouse on Higher Education, One Dupont Circle, N.W., Suite 630, Washington, D. C. 20036
6. National Education Association, Research Division, 1201 16th Street, N.W., Washington, D. C. 20036
7. The Southern Regional Education Board, 130 Sixth Street, N.W., Atlanta, Georgia 30313
8. Western Interstate Commission for Higher Education (WICHE), P. O. Drawer P, Boulder, Colorado 80302

III. SELECTED NATIONAL PROFESSIONAL ORGANIZATIONS

1. American Association of State Colleges and Universities, One Dupont Circle, N.W., Suite 700, Washington, D. C. 20036.
2. American Association of University Professors, One Dupont Circle, N.W., Suite 500, Washington, D. C. 20036.

*Its predecessor, the Carnegie Commission on Higher Education, produced, concluding in 1974, a prodigious flow of printed materials. In addition to the Commission's final report, "PRIORITIES FOR ACTION," there are series of Commission Reports, Sponsored Research Reports, and Technical Reports. These publications are listed in the later materials and in *The Chronicle of Higher Education*, October 9, 1973.

3. American Association of University Women, 2401 Virginia Avenue, N.W., Washington, D. C. 20037.
4. American Council on Education, One Dupont Circle, N.W., Washington, D. C. 20036
5. Association of American Colleges, 1818 R Street, N.W., Washington, D. C. 20009.
6. Association of Community College Trustees, 955 L'Enfant Plaza, S.W., Washington, D. C. 20024.
7. Association of Governing Boards of Universities and Colleges, One Dupont Circle, N.W., Suite 720, Washington, D. C. 20036.
8. Council for the Advancement and Support of Education (amalgam of American College Public Relations Association and the American Alumni Council), One Dupont Circle, N.W., Washington, D. C. 20036.
9. Council for Financial Aid to Education, 680 Fifth Avenue, New York, New York 10019.
10. National Association of College and University Business Officers, One Dupont Circle, N.W., Suite 510, Washington, D. C. 20036.
11. Society for College and University Planning, 616 W. 114th Street, New York, New York 10025.
12. Teachers Insurance and Annuity Association, 730 Third Avenue, New York, New York 10017.
13. World Future Society, 4916 St Elmo Avenue, Bethesda, Maryland 20014.

IV. PUBLICATIONS OF LEADING CONSULTING FIRMS AND ORGANIZATIONS IN THE AREAS OF EDUCATIONAL MANAGEMENT AND RESOURCE DEVELOPMENT

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2. *Bulletin on Public Relations and Development for Colleges and Universities,* Gonser, Gerber, Tinker, Stuhr, Suite 402, 105 W. Madison Street, Chicago, Illinois 60602.
3. *The Foundation News,* Council on Foundations, 888 7th Avenue, New York, New York 10019
4. Monograph Series of Frantzreb, Pray, Ferner and Thompson, Inc., (list of titles currently in print furnished on request, 1500 Wilson Boulevard, Suite 1105, Arlington, Virginia 22209.
5. *Fund-Raising Management,* Hoke Communications, Inc., 224 Seventh Street, Garden City, Long Island, New York 11530.
6. *The Grantsmanship Center News,* 1015 West Olympic Blvd., Los Angeles, California 90015.
7. *Philanthropic Digest,* Brakeley, John Price Jones, 6 East 43rd Street, New York, New York 10017.
8. *Taxwise Giving,* 13 Arcadia Road, Old Greenwich, Connecticut 06870.

V. SELECTED MAJOR PUBLISHERS SPECIALIZING IN HIGHER EDUCATION

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   b. *EPE 50-Minute Report*, newsletter for college and university trustees.
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